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ABSTRACT

The Council of Chief State School Officers (CCSSO) created a series of recommendations to the federal government and President for a 4-year federal investment in improving elementary and secondary education. These recommendations incorporate new initiatives with the reauthorizations of ESEA, OERI, and IDEA. The national objective is set to establish the purpose of federal funding and the order of priority and magnitude of federal commitment. Academic progress is to be accelerated for students in both public and private schools in greatest need of help through the use of Title I funds and the fulfillment of the federal commitment to share 40 percent of the cost of education for disabled students. Teacher quality is to be improved through professional development and incentives with emphasis on mathematics, science, and technology. States, local districts, and schools will also have flexibility in using federal funds through comprehensive plans. Mechanisms will be established to ensure accountability in the use of these funds. Research to improve education will also be supported. Four sections in this document cover vision and context, the goals for the nation, legislative specifications, and federal education policy and funding recommendations. A list of CCSSO Board of Directors and members concludes the document. The summary report is appended. (RT)

Helping Students To Be First In the World

*Recommendations for
Federal Action on Legislation
107th Congress*

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Council of Chief State School Officers

COUNCIL OF CHIEF STATE SCHOOL OFFICERS

The Council of Chief State School Officers (CCSSO) is a nationwide, nonprofit organization composed of the public officials- appointed and elected- who lead departments of elementary and secondary education in the states, the District of Columbia, the Department of Defense Education Activity, and five extra-state jurisdictions.

CCSSO organizes its members' consensus on major educational issues and expresses their positions to civic and professional organizations, federal agencies, Congress, and the public. The members' consensus in federal legislation is presented in this publication.

CCSSO is a partner in several coalitions with major education, business, and service organizations dedicated to improving elementary and secondary education for America's students.

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Council of Chief State School Officers



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A Summary of Recommendations for a Four Year Federal Investment in Improving Elementary and Secondary Education: Incorporating New Initiatives with the Reauthorizations of ESEA, OERI, and IDEA

1. Setting the National Objective: U.S. Students - First in the World

- Establishes the purpose of federal funding and the order of priority and magnitude of the federal commitment. Establishes the basis for flexibility and accountability in use of federal funds.

2. Accelerating Academic Progress for Students in Both Public and Private Schools in Greatest Need of Help by:

- Serving every economically and educationally disadvantaged child eligible for Title I, ESEA. Authorize Title I as an entitlement program and shift funding from a discretionary to a mandatory part of the federal budget;
- Fulfilling the federal commitment to share 40% of the cost of educating disabled students. Authorize IDEA under the mandatory part of the federal budget;
- Funding extra assistance for immigrants and limited English proficiency students to learn effectively in the English language; and
- Funding Early Childhood education grants for economically disadvantaged children through state and local education agencies.

3. Supporting Quality in Every Classroom by Supplementing, State and Local Funds to:

- Improve teacher quality through professional development and incentives with an emphasis on mathematics, science and technology;
 - Increase reading results;
 - Reduce class size for higher achievement;
 - Provide time for students to learn after school and in extended school years;
 - Expand use of technologies to learn;
 - Expand programs which equalize access to telecommunications and the internet through Universal Service Discounts; and
 - Provide school modernization bonds and tax advantages.
- ### **4. Providing Flexibility for States, Local Districts, and Schools in using federal funds through comprehensive plans for the use of the funds, specific goals to be accomplished with the funds, and with authority to combine federal programs having similar purposes to achieve those goals.**
- ### **5. Assuring Accountability in Use of Federal Funds through the support of state education agencies Systems of standards, assessments, accountability, technical assistance, and annual reporting on use of funds and results.**
- ### **6. Supporting Research to Improve Education Practice and the National and International Assessments and System Reporting to measure progress toward national, state, and local objectives.**

Helping Students Be

A Vision of Federal Action to Advance the Education Needed for the 21st Century

A prime imperative is to guarantee that the federal obligation to special needs students is met.

The 107th Congress and the President have a unique opportunity, indeed, an imperative to set a new course for the federal role in elementary and secondary education. The challenge ahead is an unprecedented one: To help students in the United States achieve performance which is first in the 21st Century world. The context of this challenge is a world and a nation that are dramatically

different—economically, technologically, demographically, socially, and educationally—from thirty-five years ago when the Elementary and Secondary Education Act was first enacted.

For the past 35 years, federal programs have focused on meeting the exceptional needs of students for whom poverty, limited English proficiency, disability, homelessness or life in the migrant stream has posed substantial barriers to education. This federal role in elementary and secondary education is premised on the gap between the needs of these students and the capacity of states and localities to address them. Looking at these children today, we find that their numbers are greater and the factors which place them at educational risk persist. While reform of public assistance has reduced the welfare rolls, 20% of students still live in poverty as their parents struggle to attain jobs with futures and a standard of living that exceeds that of welfare dependency. Over 6 million students, one in every eight, receive special education services, and this number will continue to rise at a rate

of 3% per year. The number of students who are not proficient in English has nearly doubled in the past decade, with continued growth expected. The majority of limited English proficient students are Hispanic (75%), and they will comprise 25% of the total student population by 2025.

A prime imperative is to guarantee that the federal obligation to special needs students is met. This means 1) serving every economically and educationally disadvantaged child eligible for Title I; 2) fulfilling the federal commitment to share 40% of the cost of educating disabled students; and 3) providing every state and district impacted by the educational needs of immigrants and limited English proficient students the resources necessary to develop capacity to meet those needs.

Yet as the characteristics and needs of American students have changed, so has the world in which they will live and work, and in turn, the schools in which they learn. After nearly a decade of study, analysis, and state-level action, policymakers and educators reached consensus in the late 1980's on standards-based reform as the most promising strategy for improving schools and raising student achievement to 21st Century demands. For the first time in history, we set national goals for education, and virtually every state committed itself to clear and rigorous standards for what every student should know and be able to do. With high standards came rigorous

assessments to measure progress of students and schools. Finally came the task of making the necessary alignments and implementation of standards-based reform and accountability throughout the education system, at the state, local, school, and classroom levels. This entails preparation of a teaching force second to none, high quality professional development throughout every teacher's career, universal access to early childhood education, extended learning time in the school day and school year, expanded use of learning technologies, and strengthened leadership for learning.

It is at that step—alignment and full implementation of the supports necessary for all teachers to teach and all students to learn to high standards in schools that succeed—that we begin to understand the depth and breath of this overhaul of American public education. It represents nothing less than fundamental, revolutionary change in the system. It presents daunting challenges that we have not yet met. For example, the same demography which produces a graying workforce, results in a population of experienced teachers and school leaders on the verge of retirement. The same booming technology and information industry which drive our thriving economy, attracts and drains our current and future pool of talent from teaching and educational leadership.

A second and equally prime imperative is to assure federal support for comprehensive, integrated, specific and highly effective strategies to 1) provide students the instructional programs and materials they need to master the content and skills they are expected to learn; 2) attract, prepare and support

teachers and school leaders who can develop and implement such instruction aligned with the new standards; and 3) assure schools are equipped and empowered to make the programmatic, personnel and budgetary decisions they must to achieve educational success.

Since 1965, discussion of the federal role in education has focused on the “balance” between “equity” and “quality.” Such a distinction or dichotomy is moot in the first year of the 21st Century. There can be no educational equity nor opportunity for all students unless all our schools have the resources, personnel, supports and means, i.e. the capacity, to deliver quality instruction. Conversely, holding schools and teachers accountable for quality is an empty promise and unattainable goal without equity of resource and capacity on a school-by-school, classroom-by-room basis. Similarly, more recent debate on “accountability” versus “flexibility” in federal education programming misses the important connection and interdependency of these critical aspects of education reform. Equity and quality, accountability and flexibility are no longer separate concepts, to be “balanced” or pitted against each other; they are now inexorably linked and mutually dependent on capacity.

The Council's proposal for “Helping Students Be First in the World” seeks to achieve equity through quality, accountability with capacity, by identifying three key goals for American education in the 21st Century: excellence, acceleration of student achievement,

A second and equally prime imperative is to assure federal support for comprehensive, integrated, specific and highly effective strategies to assure educational quality for all students.

and quality in the classroom. **The proposal organizes the essential programmatic elements and funding streams around these three goals to achieve two purposes: 1) To drive sufficient resources to meet the federal commitment to students with exceptional needs and assure that these funds support comprehensive, effective strategies to improve the instructional program and outcome of schools serving these students; and 2) To make essential, strategic investments in the major components of educational reform—such as research, professional**

development, learning technologies, safe schools—and assure that again, through use of these funds as part of comprehensive plans and strategies, state and local capacity is enhanced.

The federal role in achieving the national goals of excellence, acceleration and quality include investments in the national priorities of expanded, high-quality learning time through a longer school year, afterschool and summer programs for students and teachers; a multi-

pronged strategy, with adequate financial incentives, career growth and mobility, to attract, recruit, train, certify a world-class force of teachers and administrators; and mechanisms for the core issues affecting student achievement and educational excellence to be researched, shared, disseminated and applied in states and districts across the nation. Investments in these priorities can and should be made through the

programs directed to the special needs of federally-identified students, where student achievement is the measure of the effectiveness of the funds. However, direct investment in these key elements of educational reform is needed as well, through programs and substantial resources targeted to each priority and measures of success related to the quality and capacity achieved with the funds.

The Legacy of Federal Action in Education.

In meeting this challenge, the Administration and Congress have important precedents for federal action which go back over two centuries of American history. Major examples in support of higher education are the Land Grant College Acts and the GI Bill. The major precedents for elementary and secondary education include the National Defense Education Act, Vocational-Technical Education Act, the Individuals with Disabilities Education Act (IDEA), the Civil Rights Act, and the Elementary and Secondary Education Act (ESEA), first enacted in 1965.

The reauthorizations of the Elementary and Secondary Education Act, the discretionary programs of the Individuals with Disabilities Education Act, and the Office of Educational Research and Improvement (OERI) are extraordinarily important. There are now four decades of experience with many of the federal programs, starting with the National Defense Education Act and the ESEA. In this authorization, it is essential to adopt a vision of the federal role in elementary and secondary education which draws on the foundations of the past, is informed by actions of the 106th

The Council's proposal for "Helping Students Be First in the World" seeks to achieve equity through quality, accountability with capacity, by identifying three key goals for American education in the 21st Century: excellence, acceleration of student achievement, and quality in the classroom.

Congress, and sets a dynamic and effective federal role for beginning the next century.

Specific goals and targets for students, schools and systems associated with these Acts are needed to set expectations for high nationwide performance for all students and for accountability. A meaningful portion of the budget surplus must be invested in educational excellence, acceleration of student achievement, and quality in the classroom to assure enhanced productivity and prosperity for American workers, families and communities through the 21st Century.

Central Purposes of Federal Action.

The Acts considered for reauthorization and expansion by the 107th Congress together provide about four percent of the total spending for elementary and secondary education in the United States. The Acts, therefore, must target federal expenditures to help states and localities address nationwide education issues worthy of federal taxing and programs. These Acts include central purposes which have guided federal funding to support improvement in student achievement for decades. The funds:

- Help states and localities set high standards and assessments for students, teachers and schools, and assist in their strategies for school improvement;
- Target the greatest portion of federal assistance on students in poverty and with disabilities, immigrants, migrants, limited English proficient and homeless students who need extra assistance to meet standards;

- Support specific reform efforts in reading, mathematics and science, and uses of new learning technologies to provide teachers and school leaders with help to teach a more challenging curriculum; and
- Support research, development, and testing to obtain the state-by-state, national and international comparisons of education which are essential to help states and localities benchmark targets of excellence for their students.

The use of federal funds for these purposes establishes a specific federal role in the partnership among localities, states, and the federal government to improve education. Through these purposes Congress and the President address national challenges by targeting the uses for which the funds are appropriated and, yet, provide for control of the uses of these programs by states and localities related to their priorities.

State Education Agency Leadership.

Throughout the two centuries of federal support for education, Congress has designated constitutionally and statutorily established state education authorities to administer federal education programs. This structure has served the nation effectively for these reasons:

- Reliance on state education agencies as the constitutional and statutory authorities, places responsibility at the state level to establish the plans, priorities and the means of quality control and reporting for the use of federal funds in states and localities.

- Using state education agency authorities to administer the programs enables the states to link their own state resources with the federal resources to amplify the impact of the federal funding.
- Using state education agencies to administer the federal programs decentralizes control on the use of funds from the federal level, places administrative responsibility close to local authorities and minimizes the need for federal intervention and administrative expenditures in implementation of programs.

Through the carefully constructed relationships of localities, states and the federal government developed in the past half century, an effective balance has been achieved between the establishment of specific and targeted nationwide initiatives supported by federal funds, and the control and flexibility in use of the funds by states and localities. This partnership of support and governance is unique to our educational system in the United States.

Framework for New Initiatives and Reauthorizing the Keystone Programs of ESEA, OERI, NCES, and NAEP.

*Building on the Past,
Reaching for the Future:
Recommendations informed
by experience with the 1994
Acts, actions of the 106th
Congress, and expectations
for the future*

The Council of Chief State School Officers' recommendations to Congress and the Administration on the reauthorization of the major programs of federal support for K-12 education due to expire during the 107th Congress, provide a new vision of the federal role in improving elementary and secondary education. This vision is informed by the experience of implementing the 1994 Act, the actions of the 106th Congress, and expectations for the future.

The 1994 restructuring of ESEA, entitled the Improving America's Schools Act and complemented by the Goals 2000: Educate America Act, enhanced the coherence, coordination, flexibility and accountability of federal elementary-secondary education programs. It restructured many programs of federal K-12 support around key national priorities in education, such as the opportunity for all students to achieve to high standards. It



enabled and encouraged states and localities to integrate federal funds and programming with comprehensive reform and school improvement initiatives designed to narrow the gap in student achievement and improve instruction for all students. It dramatically refocused federal K-12 programming on high standards and expectations for all students and on a new basis of program accountability—student achievement to those standards. The reauthorization must build on and advance these directions substantially, as well as make bold new steps, to assure an American education system and student performance which is second to none in the 21st Century.

As Congress and the Administration develop new legislation to prepare our students for the 21st Century, we urge they focus on three goals for the nation and build on the structure of federal programs in the several Acts in the reauthorizations before this Congress. The goals are: Striving for Excellence; Accelerating Student Achievement; and Quality in Every Classroom. The goals and funding/programmatic strategies are addressed below.



Three Goals

Statement of Three Goals and Targets for Federal Funding to be Accomplished by 2005.

GOAL 1: Striving for Excellence.

Provide support for states and localities to set expectations which are second to none in the world and guided by the standards, assessments, accountability systems, and strategies for use of resources that produce student performance which is second to no nation in the world.

There is a critical federal role in supporting states and localities in their efforts to achieve excellence and accountability in education, as well as in providing national leadership in research and development, assessments and data collection. National and international data and assessments of student performance are the indicators of educational excellence and should be used to set targets and evaluate progress for the next five years.

To achieve the goal of excellence, the federal role must support and focus research on the key elements of educational reform, such as identification of systemic and targeted interventions to enhance teacher supply and quality, with development of dissemination and management information systems to enable states, localities and schools to share what is learned. Federally-supported research and development is essential to bridge the gap between where we are, as a nation and state-by-state, versus where we need to be in the process of developing challenging unitary standards for all students, aligning assessments and setting targets for student achievement.

National strategies to help achieve the objective:

*1. Authorize and appropriate substantial new funding for educational research and development, statistics, national and international comparative studies, technical assistance to states and localities, including "drawdown" accounts for SEAs and large urban districts to purchase services from labs and centers (\$1 billion^{*1}).*

Investing in education research and development is a key federal role and the federal government is the primary source of funding for national education research and development. Congress currently appropriates approximately 0.3% of the Department of Education's budget for research, development, and statistics. According to the Office of Management and Budget, this is the lowest amount of any Cabinet agency spent on research and development.

^{*}Note all dollar amounts represent the recommended annual authorization and appropriation necessary to fully fund the program. Programs that are new, or current programs expanded to over \$1 billion, could be phased in over a five-year period.

In such a critical area as education, which is a \$564 billion industry, effective research on best practices is pivotal to school reform efforts. The federal share must be increased significantly for America to reach world pre-eminence in education.

Most states have developed standards and aligned assessments and are meeting deadlines for implementation of Title I accountability requirements. The FY 2001 education funding bill included \$45 million for states to meet these requirements. Continued,

substantial federal support for this key activity by state education agencies is essential to expand beyond reading and mathematics to other core subject areas, and to revise and refine standards and assessments based on what is learned through implementation. Development and use of aligned assessments can cost as much as \$5 to \$20 per student, depending on the degree to which the assessment is specifically designed to match the state curriculum and standards.

2. Authorize continued funding for SEAs to develop, refine, align and implement world-class standards and assessments (\$50 million).

Funding should also be increased from the current \$8 million to expand opportunity for the Integrated Performance Benchmarking System (IPBS) to all 50 states. IPBS is currently a eight-state pilot program that is a federal-state

cooperative approach to collecting school, district, and state information on federal program performance. The program would greatly reduce duplicative reporting requirements and provide better data about federal program recipients.

3. Expand the Integrated Performance Benchmarking System to all states (\$50 million).

GOAL 2: Accelerating Student Achievement.

Provide all students identified as needing additional and supplemental resources, beyond those necessary for the success of “regular” students, the opportunity to accelerate their learning to achieve to high standards, with the assistance of additional federal funds.

A fundamental federal role is enhancing equity of opportunity for all students and closing the gap in performance between those identified as needing special assistance and other students. The supplemental federal funds, which complement state and local funds, are targeted to the extra services and improved classroom instruction these students need to make achievement gains greater than one grade level for every year of schooling. States and localities are investing at least the equivalent of federal funds of their own resources in similar efforts. “Identified students” include those now eligible for various federal programs under the terms:

- Economically and educationally disadvantaged
- Students with Disabilities
- Migrant
- Immigrant
- Limited English Proficient
- Native American, Hawaiian, etc.
- Homeless

States and localities must assure equity of opportunity through specific plans of services and targets of performance for identified students to meet the same standards established for all students. Funds must be used to improve the instructional program of schools in which identified students are served through comprehensive approaches to implement school improvement models and best practices which have been proven to work. Student achievement in national and state assessments disaggregated by eligible populations would be the indicators of progress in this goal.

National strategies to achieve the objective:

1. Guarantee full funding of Title I to serve all eligible students, with state educational agencies authorized to use up to 2.5%-5% of each state’s allocation in partnership with LEAs to turn around districts and schools in need of improvement (\$24 billion non-discretionary).

Title I is the largest federal elementary and secondary education program, currently serving approximately 11 million economically and educationally disadvantaged children in nearly 14,000 of the nation’s 15,000 school districts. Title I eligible students are among the nation’s most impoverished and in desperate need of the additional educational resources that the program can provide. The supplemental Title I

federal funds, matched by state and local funds, are targeted to the extra services and improved classroom instruction these students need to make achievement gains *greater than* one grade level for every year of schooling. States and localities are investing at least the equivalent of federal funds of their own resources on similar efforts.

However, Title I is currently meeting the needs of only one-third of the eligible students nationwide. Furthermore, even as funding for the program has increased slightly over the years, the average per pupil allocation including related services fell from \$946 per child in 1994 to \$748 per child in 1997. Other data show the Title I per pupil allocation falling to as low as \$613 by the 1997-98 school year. While 95 percent of schools with poverty levels of 75 percent and above received Title I funding that school year, 20 percent of schools with poverty levels of 50 to 74 percent did not receive any Title I funds. In addition, only 64 percent of schools with poverty levels between 35 and 49 percent received Title I funding.

Despite constant rhetoric that Title I is a failure, the program has been successful despite the steadily increasing numbers and educational needs of students living in poverty. Since 1992 and 1994, respectively, reading and math performance on NAEP (the National Assessment of Educational Progress) has improved for 9-year-olds in the highest-poverty public schools, those with 75 percent or more low-income children, regaining ground lost in the late 80s. The lowest-performing 4th-graders who are most typically targeted for Title I services also showed substantial improvements in math. State assessments reveal substantial progress as well. For example, in Connecticut, Maryland, North Carolina and Texas, scores went up in both reading and math.

It would take approximately \$24 billion to fully fund Title I. FY2001 funding is \$8 billion. In light of the recent 10-year budget surplus estimate of \$2.6 trillion, the \$16 billion necessary to serve all eligible children is modest and should be considered in tandem with full funding of the federal share of IDEA funding.

Statistics provided by the General Accounting Office (GAO), the National Institute on Out-of-School Time, and other surveys show that the lack of affordable, accessible afterschool opportunities for school-age children means that an estimated 8 million to as many as 15 million "latchkey children" regularly go home after school to an empty house. Forty-four percent of third graders spend at least a portion of their out-of-school time unsupervised, and about 35 percent of 12-year-olds are regularly left alone while their parents are at work. GAO estimates that in 2002, the current number of after-school programs for school aged children will meet as little as 25% of the demand in some urban areas.

In the last grant competition for the 21st Century after-school program administered by the U.S. Department of Education, there was sufficient funding for only 310 of the 2,253 applications. Of the

2. Significantly expand opportunity for Title I students to access quality, school-based extended learning programs after-school, on weekends, and during the summer by authorizing the 21st Century Community Learning Centers program as a formula program to local districts administered by states under Title I (\$1 billion).

\$1.34 billion in funding requested by schools across the nation to start after-school programming this school year, only \$185.7 million was available, with an additional \$267 million committed to continue programs in communities which had previously received grants. With more fiscal support, more after-school programs could be awarded 21st Century Community Learning Center grants.

3. Guarantee full funding of IDEA to meet the federal commitment of 40% of average year pupil expenditures (\$16 billion non-discretionary).

When IDEA was signed into law in 1975, the federal commitment was expected to be 40% of the average per pupil expenditure to pay the excess cost of providing free, appropriate education for students with disabilities. Even with increases of appropriations in recent years, the federal government currently contributes only 13% of the cost, which puts the major financial burden on states, districts, and schools to meet the full obligation to disabled students. Meeting this requirement is increasingly difficult as the challenges of rising enrollments and increasing numbers of students with special needs grow.

The federal government funded IDEA at \$6.3 billion in FY2001. It would take nearly \$16 billion to fully fund the 40% federal share, which means that the federal government must increase funding by roughly \$12 billion. In light of the ever increasing \$2.6 trillion budget surplus, this is the right time to make the increase which meets the initial expectation for the federal share. The combination of this support for the 6.8 million children with disabilities currently receiving IDEA services, together with full funding of Title I, would complete the essential commitments to equity in serving children in need of extra funds to help them meet standards.

4. Substantially increase funding for states and localities to assist limited English proficient students in attaining proficiency (\$1 billion).

The number of LEP students has increased nearly 100 percent in the past decade and the growth is expected to continue. Already, nearly half of the nation's school districts enroll LEP students. Today's students speak over 100 languages, including French, Spanish, Hmong, and Chinese.

At the same time, there is a massive shortage of teachers certified to teach LEP students. Less than 1 in 5 teachers who currently serve LEP students are certified to teach bilingual education. Eighty (80) percent of school districts attempting to hire bilingual teachers encountered significant difficulty in locating trained candidates. Substantially greater federal investment is needed to build state and local capacity to reach these students and enhance both their proficiency in English and their performance toward achieving high standards for all students.



Since 1965, Head Start has provided comprehensive pre-kindergarten experiences—education, health care, nutrition, and social services—to almost 18 million children. Research demonstrates that Head Start can help children build the confidence and skills they need to succeed in school and to become the leaders, taxpayers, and productive citizens of the future. Despite over 30 years of investment and a proven track record in helping children and families succeed, Head Start still only reaches slightly less than half of eligible preschool-age children. Less than half of all 3-5 year olds with family incomes of \$40,000 or less are enrolled in pre-school, compared with 82% of children from families whose incomes were higher than \$75,000.

A national review of 36 studies on the long-term impact of early childhood education programs (including a number of Head Start programs) found that low-income children who participate in such programs are less likely to be held back in school or to be placed in special education classes, more likely to succeed in school and to graduate, and more likely to be rated as behaving well in class and being better adjusted in school. Universal access to early childhood services, including a program administered by state and local education agencies to make pre-K available for all 3- and 4-year-olds, is key to achieving acceleration of student performance. Most recently, the FY2001 education funding bill authorized \$750 million in funding for an early learning program to be administered by the Department of Health and Human Services, in coordination with the Education Department. This and other recent early childhood proposals represent an important first step in the process of offering universal access to early childhood education.

*5. Offer universal access to early childhood education
(\$4 billion for federal share = 25%).*

GOAL 3: Quality in Every Classroom.

Provide support for all schools to build their capacity and lift student performance to internationally-competitive standards, particularly in schools with high concentrations of low performance by identified students.

The essential role of the federal government under this goal is to help states and localities leverage and foster improved student learning. States and localities would set measurable goals for quality indicators, such as teacher supply and credentials for professional development, to evaluate progress toward their targets.

To achieve this goal, each of the fundamental elements of instructional quality and school success must be the focus of substantial funding streams, targeted to the interventions that have been proven to produce results in student achievement. Each of these components is essential and cannot be approached in a piecemeal, partial fashion.

National strategies to achieve classroom quality:

A. Teacher/School Leader Supply and Quality.

Effective recruitment, retention, and professional development plays an essential role in successful education reform and serves as the bridge between where prospective and experienced educators are now, and where they will need to be to meet the new challenges of guiding all students to achieve to higher standards of learning and development. A 1998 NCES study found that only 47% of teachers received released time to attend professional development and 23% were given no support, time, or credit for that professional development. Furthermore, only 56% of teachers are trained to use instructional strategies aligned with high standards and assisting all students to achieve.

1. Authorize and appropriate funds for state education agencies (SEAs) and state higher education organizations (SHEOs) to establish summer institutes and other comprehensive, intensive training programs (\$250 million), and authorize stipends of up to \$10,000 for the nation's 3 million teachers to either attend a summer institute or participate in a school year with extended training (\$6 billion).

Research shows that effective professional development is intensive and sustained over time. One of the most effective initiatives in massive professional development for practicing teachers was the summer institute program in mathematics and science authorized by the original National Defense Education Act (NDEA). The 1964 act included authority for summer institutes to provide training for teachers of English as a second language (ESL), and was successful in growing the number of university programs in ESL.

Roughly 70% of current professional development programs last under eight hours. Summer institutes and intensive training sessions prior to, during, and after the regular school year offer the luxury of extended time for substantive, high quality professional development. These professional development sessions offer teachers the opportunity to improve their techniques through exposure to on-going research and new methods, instructional materials, developments and applications in the field, and career opportunities for students.

Bipartisan legislation was introduced in the 106th Congress to foster development of summer institutes by state K-12 and higher education agencies. Other extended training opportunities during a lengthened school day and year should be explored as well. To rapidly retrain and upgrade skills of the nation's 3 million teachers in best practice, a federal initiative should authorize stipends for all teachers to have the opportunity to attend a summer institute or alternative training session over a five year period.

As an interactive system, mentoring benefits all participants: the mentor, the protege, and the school system. Mentors transfer practical skills and knowledge accumulated through extensive professional experience, much of which is not available in teacher preparation programs. Working with beginning teachers enables mentor teachers to reexamine their own classroom practices and the effects of accepted instructional techniques on the teaching/learning process. School districts benefit from mentoring programs both in terms of teacher quality and retention rate. Currently, over 30% of teacher leave the profession within the first 5 years.

Over 30 states have mandated some form of mentored support for beginning teachers. Despite this fact and research showing the success of mentoring, only 19% of teachers had a mentor teacher and two-thirds did not participate in a formal induction program during their first year on the job. Furthermore, a 1996 study shows that the typical school only spends 0.5% of its budget on professional development, while the typical private-sector company spends nearly four times as much. Expansion of Title II Eisenhower to support mentoring programs, coupled with authority and funding of meaningful stipends for teachers who serve as mentors, is a key federal role in professional development and retention of new teachers.

The Reading Excellence Act has provided competitive grants to 27 states to disseminate research-based best practice and dramatically improve instruction in reading in high-need districts in those states. Based on the results in student achievement where proven methods of teaching reading are used, the program should be offered to all states as a formula grant based on poverty and student population. In the first three years of the reauthorized ESEA, funds to local

2. Provide for mentoring programs as a central use of funds under Title II, Eisenhower math and science (\$500 million), and authorize stipends of \$5,000 per school year for 100,000 teachers to serve as mentors (\$500 million).

3. Expand the Reading Excellence Act as a formula grant program to all states, with competitive local grants, building out to formula grants to all districts over five years (\$1 billion).

districts should be distributed by the SEA on a competitive basis, phasing up to an SEA-administered formula grant to localities once capacity is built.

4. Authorize the Class Size Reduction program and appropriate sufficient funds to hire 100,000 new teachers over 5 years (\$2 billion).

Increasing the ratio of highly qualified teachers equipped with effective instructional techniques is an integral part of comprehensive school reform and success for all students. A recent RAND study on education reform concluded, "To raise achievement scores, the most efficient and effective

use of education dollars is to target states with higher proportions of minority and disadvantaged students with funding for lower pupil-teacher ratios, more widespread prekindergarten efforts, and more adequate teaching resources." When class size is reduced from substantially more than 20 students per class to below 20 students, the related increase in student achievement moves the average student from the 50th percentile up to above the 60th percentile. For disadvantaged and minority students the effects are greater.

Over 25 states already have started or are considering some sort of class size reduction initiative. A study of Tennessee's Project STAR found that students in smaller class sizes in grades K-3 earned significantly higher scores in basic skills tests in all four years and in all types of schools. Similar research findings of academic gains were identified with class-size reduction efforts in Indiana, Wisconsin, and North Carolina. Benefits were especially great for disadvantaged and minority students and can complement programs such as Title I that accelerate learning for these students.

Thirty thousand teachers have already been hired through federal support for class size reduction program. In the absence of a program authorization under ESEA for annual appropriations, states and school districts are hampered in their planning and budgeting each year and face eliminating the new teaching positions funded by the program that school year. Funding for the class size reduction program has received bipartisan support as part of the FY99, FY2000, and FY2001 Omnibus Appropriations bills. However, without a reliable annual appropriation with cost-of-living adjustments, there will be little commitment or stability in the effort to continue these positions and expand to the 100,000 new, qualified teachers needed to help states and local districts address growing enrollments and retirements of current teachers.

B. Learning Technology

The percentage of classrooms connected to the Internet has risen from 3% in 1994 to 63% in 1999. This is due in large part to successful initiatives such as the E-Rate. More funding is necessary to ensure that all classrooms are equipped with 21st century technology, are connected to the Internet, and are taught by teachers who are trained to use new technology effectively.

There is clearly a "digital divide", particularly in high-poverty urban and rural schools. This is illustrated by the fact that only 39% of high poverty schools have Internet access compared to 68% of schools with lower concentrations of poverty. Furthermore, schools with the highest concentrations of poverty had 16 students per computer with Internet access, while schools with the lowest concentrations

of poverty averaged 7 students per computer. The need for continuation and expansion of the E-rate and increased formula grant funding under Title III of ESEA with targeting to high-poverty schools is great.

A recent study by the Department of Education revealed that currently only 33 percent of teachers feel “well-prepared” or “very well-prepared” to use computers and the Internet in the classroom. Training through programs such as the Preparing Teachers to use Tomorrow’s Technology (PT3) comes at a critical time, since 2 million teachers must be recruited to replace retiring teachers in the next 10 years.

The National Center for Education Statistics (NCES) found that 78% of teachers felt that the largest barrier to computer use in the classroom was a lack of equipment. While most schools do have computers, many are outdated with limited capacities that hurts students ability to learn to the fullest extent. Teachers in schools with more than 50% minority enrollment were more likely than other teachers to cite outdated and incompatible computers as a major barrier to technology use in the classroom.

1. Increase Title III funding for technology training and equipment (\$3 billion).

The successful E-Rate program has provided more than \$5 billion over three years in technology discounts to our nation’s schools and libraries, with support directed primarily toward high poverty schools. There is increasing demand for these vital discounts. The problem is that the

program is only funding a portion of the qualified applicants for internet connections. To meet the essential objectives of this service will require an annual availability of support, off budget, of \$4.5 billion.

A recent report by EdLinc surveyed E-rate recipients and found that the program is having the following effects:

- Increasing involvement in and opportunities for learning for all Americans, including encouraging teachers to integrate new technologies into learning, a remarkable growth in distance education, and transforming libraries into centers for digital learning and communications.
- Fostering greater parental involvement in children’s learning through the use of Internet tools (including e-mail and school web sites) to monitor their children’s progress and communicate more regularly with teachers, as well as access to schools after-hours to learn technology skills.
- Spurring demand for and deployment of the Internet, particularly in schools and libraries in underserved areas, and in turn, the rest of the community. E-rate discounts are also leveraging significant new investments in technology, enabling schools and libraries to meet and even exceed their technology goals through direct savings and increased technology assistance from states and private foundations.
- Increasing partnerships among diverse community institutions, including school and library connections with businesses, community colleges, museums and senior citizen centers.

2. Provide for the Universal Service Discounts for access to technology to become a truly “universal” service supporting all qualified applications by schools and libraries (\$4.5 billion non-discretionary).

C. School-by-School Innovation.

Localities and states need assistance to adopt and scale up research-based reform strategies. Title VI provides the authority for localities and states to implement best practices based on research. Substantial funds are needed for states and districts to develop and align their standards, curriculum, assessments, and technology and professional development. Title VI enables states and localities to choose their strategies with flexibility and to link federal funds with local and state research and development funding.

Increase funding of Title VI to bring state and local educational reforms and innovative strategies to classrooms across the nation (\$900 million).

Increase funding of Title VI to bring state and local educational reforms and innovative strategies to classrooms across the nation (\$900 million).

Title VI supports technical assistance to schools; development, alignment and implementation of standards, aligned assessments, curriculum, and professional development by states and localities; expanded access to learning technologies in the classroom through curricula, equipment, and teacher training to accompany it; and scaling up of research-based reform strategies. Title VI offers the most flexible funding source for state and local education agencies to bring extra resources to their greatest and most-pressing priorities for improvement school-by-school and classroom-by-classroom.

D. Safe and Drug-Free Schools.

The Safe and Drug-Free Schools Program is the primary federal program for reducing drug, alcohol and tobacco use, and violence, through education and prevention activities in our nation's schools.

The 2000 Annual Report on School Safety recently released by the Departments of Justice and Education shows that crime and violence in our nation's schools continue to decline. Since 1992, rates of serious crime, including violent crime, have declined steadily in our schools, and the number of non-fatal crimes in schools is down by more than 21 percent. Between 1992 and 1997, the number of students who report carrying a weapon to school decreased by 25 percent. School homicides, which remain extremely rare, are also on the decline. However, teenage smoking continues at an alarming rate, and the violent incidents that shocked many schools over the past years serve as a reminder of the importance and need for effective violence prevention programs.

Sustain funding for Title IV, Safe and Drug Free Schools and Communities (\$650 million).

Sustain funding for Title IV, Safe and Drug Free Schools and Communities (\$650 million).

Funding for the Safe and Drug Free Schools state grants program should be sustained at no less than FY2001 levels. In a number of states, the program is the basis and a catalyst, coupled with state and local resources, for comprehensive health education. It should be reauthorized as an SEA-administered formula grant to local districts for adoption and expansion of proven research-based effective practices.

SDFSCA should remain a comprehensive program that focuses on violence prevention and reduction in the use of alcohol, drugs, and tobacco.

E. School Modernization.

America's schools are in desperate need of repair. A 1995 GAO report estimated that it would cost \$112 billion to modernize schools across the nation, and a National Education Association report estimates that it would cost \$268 billion to fully modernize our schools, including wiring access for new technologies. With respect to technology access, a USED study estimates that 46% of schools lack the basic electrical wiring to support modern communications technology and only 39% of classrooms in our poorest schools have Internet access compared to 74% of low-poverty schools. Furthermore, the NCES report shows that at least 2,400 new schools will be needed by 2003 to accommodate rising enrollment.

While school modernization has primarily been the responsibility of state and local government, the above statistics clearly illustrate the extraordinary need related to national economic policy and demographic trends, that must be met. As numerous studies also show, school enrollments are rising and will continue to rise over the next 30 years, as a recent U.S. Census report shows that the number of births will rise from 4.2 million in 2009 to 4.8 million in 2028. The federal government is in a strong position to help states and localities address this issue.

In the FY2001 education funding bill, \$1.2 billion was included for emergency school renovation projects. This represents a significant first step in beginning to meet the extraordinary school infrastructure needs outlined above. Furthermore, there have been significant federal investments in education in the past, including construction costs, at times when critical nationwide needs and priorities have been identified. Examples include the original land grants for education under the Northwest Ordinance, the land grant system for state colleges and universities, and the construction program authorized for federally-impacted schools. Our nation must now invest in the major education challenge for the 21st Century—the school plant essentials to prepare students for the “information century”.

A 1995 GAO report found about 28 million students attended 60% of the Nation's schools that reported having one or more building features, such as roofs, plumbing, and heating and cooling systems, needing to be extensively repaired, overhauled, or replaced. Forty-five percent of these schools had multiple features in need of repair.

The FY2001 Education Appropriations bill included \$1.2 billion for emergency school renovation grants. This \$1.2 billion in funding will leverage over \$6 billion of renovation projects through grants and loans to high-need school districts with little or no capacity to fund urgent repairs. Over five years, the program would leverage \$33.5 billion, enough to help up to 25,000 schools. However, the program is only appropriated funds for one year and needs to be authorized over a 5 year period to meet the tremendous need for school modernization that is expected to continue to grow. This program should be

1. Authorize emergency school renovation grants (\$1.3 billion).

continued as a competitive or discretionary grant program based on poverty and need, administered by the state education agency or state agency primarily responsible for school construction and facilities.

2. Authorize tax or revenue measures as mandatory spending to leverage school bonds and other investment in the nation's school facilities.

The program would be authorized as mandatory, or non-discretionary spending with administration of tax credit bonds or other revenue measures to districts by the state education agency or state agency primarily responsible for school construction or bonding.

States have varying needs and priorities with respect to federal aid for school construction and modernization. The \$300 billion unmet need for new facilities and renovation of aging or substandard buildings is not evenly distributed across the 50 states and 15,000 school districts, nor are financing options and policies uniform state-to-state. There are a number of mechanisms on the tax or revenue side of the budget for supporting states and districts in their efforts to build and modernize school facilities, some proposed and some in current law. Those states and localities which must have access to federal financing and interest subsidies to support school bonds and address unmet needs should have the opportunity to use the financing mechanism best suited to their policies and structure.



Building On Experience and Recent Congressional Action.

The following provisions of ESEA must be maintained in the reauthorization as the statute is restructured:

Direct federal support for elementary and secondary education through states and localities in order to help all students achieve high standards.

Direct federal support for elementary and secondary education through states and localities in order to help all students achieve high

standards, including provisions to:

- **Require and support comprehensive state and local school improvement plans which include standards, assessments, accountability and reform strategies that integrate federal, state, and local funds.** The statutes which originated comprehensive planning around standards-based accountability have expired, including Goals 2000: The Educate America Act to promote systemic reform of K-12 schooling and the School-to-Work Opportunities Act to build systemic connections between school and employment. However, building out those plans for the next five years and continuing federal support for state and local systemic reform efforts and accountability systems remains central focus of the current reauthorization.

- **Integrate planning for uses of ESEA funds and accountability with statewide and local plans and strategies to implement high standards with aligned assessments.** Federal funds support both direct services to identified students and quality improvements in the delivery of services to these and all students. The targeted federal authorizations can support in a seamless fashion the broad components of state and local reforms, such as professional development, curricula and learning technology aligned to standards, as well as the quality of services delivered to students on a school-by-school, classroom-by-classroom basis. Accountability is based on the degree to which states and localities reach their goals for quality in the system and performance of students.
- **Shift the performance criteria for Title I and other ESEA programs that serve identified students to the expectation that students served by federal programs are expected to achieve the same standards expected of all students in the state.** House-passed legislation to reauthorize Title I in the 106th Congress included enhanced requirements for states to develop and implement high standards and assessments for Title I students.

Streamline federal support for elementary and secondary education to better leverage and integrate funds and programs with state and local school reform efforts.

Streamline federal support for elementary and secondary education to better leverage and integrate funds and programs with state and local school reform efforts, including provisions to:

- **Streamline and reorder the titles of ESEA to encompass programs with similar**

purposes. States and localities have the opportunity to submit a *single comprehensive* plan for school improvement and a *consolidated application* for funds. The advantages of consolidation touted for “block grants” are already present in ESEA.

- **Authorize Title I schools with high percentages of students in poverty to use the federal funds in *schoolwide projects*, lowering the threshold for such projects to 50% of eligible students.** This provision offers additional discretion and flexibility to local authorities in providing consolidated services.

- **Provide broad authority for the Secretaries of Education and Labor to waive federal requirements and regulations, including *Ed Flex* authority under which SEAs may waive requirements for local districts and schools in return for waiving their state requirements on similar issues.** During the 106th Congress, Ed Flex authority was extended to all states which are meeting the Title I standards and assessment requirements.

Encourage better coordination of federal elementary and secondary programs with other health and social services for students, including provisions to:

- **Provide for states and localities to use up to 5% of funds under ESEA for health and social services for students.**

These basic provisions must be carried forward in the reauthorization. They should be incorporated in a new framework for ESEA, with an overall structure of purposes, goals, and objectives; programs and uses of funds; and, specifications summarized as follows:

Encourage better coordination of federal elementary and secondary programs with other health and social services for students.

Structure Of the Act.

The programs of ESEA and OERI would be restructured under the three national goals. Those parts of programs included under Goals 1, Excellence and 2, Acceleration for use by localities and states could be consolidated with other programs under the goal by states and localities according to their comprehensive plans, or continued as separate categorical programs. In the case of Goal 2, Acceleration, the plans would enable the consolidation of funds at the school level through an integration of instructional services to eligible students. Programs under Goal 3 represent substantial funding streams targeted to major national priorities for Quality in Every Classroom, including: Professional Development, Class Size Reduction, Learning Technology, School-by-School Improvement, Safe and Drug-Free Schools and Communities, and School Modernization. With certain exceptions, programs grouped within each priority could be consolidated at state and local option, and plans would establish goals for each priority and show how activities across functions are integrated to build quality in the classroom.

Congress and the Administration are encouraged to merge small categorical demonstrations or "start-up" programs in the reauthorization, particularly those which are neither intended nor likely to become formula grants to all states and districts. The remaining programs would be appropriated by category, thereby enabling Congress and the Administration to set nationwide priorities among the purposes by targeting appropriations and revising future reauthorizations. Impact Aid would remain a separate program.

Integration of Federal Programs through State and Local Plans and Applications.

Comprehensive Reform Plans.
Together, federal programs must connect and interact with each other and with state and local initiatives in a coherent, seamless and comprehensive fashion to support states and localities in addressing national educational goals. The means of doing so is found in provisions for states and localities to have standards-based accountability systems, including performance objectives for students and teachers, as well as quality indicators, with comprehensive plans and integrated strategies to achieve them.

States and localities have comprehensive educational reform or school improvement plans which were developed under Goals 2000 and/or ESEA, particularly Title I. Under the new Act, these plans would be reviewed, updated, and consolidated to specify how each goal and national priority within goals would be achieved. Plans would be subject to approval by the Secretary of Education. The plan for Goal 1 would address state and local progress toward establishment of high standards for all students, alignment of assessments, curricula and professional development with the standards, and access to research/technical assistance to attain educational excellence. The plan for Goal 2 would indicate how federal

funds would be used to accelerate student achievement and close the gap for those students identified under Goal 2, including targets and benchmarks for assessing their progress. The plan for Goal 3 would specify how state and local capacity to enhance quality in the classroom would be improved by addressing each priority, again, with targets and quality indicators for each.

Key to the success of comprehensive, consolidated plans for programs is the option to integrate programs, so long as achievement goals are established for identified students by category, and quality indicators and benchmarks for the major national goals and priorities are addressed by the federal programs.

States would continue to involve stakeholders for advice on revision of their plans for achieving the three goals and on evaluation and accountability for the use of funds.

Advisory functions would be efficient, rely on existing mechanisms within the state, and be consolidated to avoid duplication.

Accountability. Accountability for use of federal funds would be directly based on (1) the net change in the performance of identified student populations toward local and state standards, no matter what mix of federal programs the state or locality applied to the population group, and (2) state and local progress toward their goals for each priority of quality in the classroom. Annual progress reports toward their goals for student achievement, acceleration of student achievement, and the

priorities under quality in the classroom would be required. Additional federal accountability requirements which are adopted in the reauthorization, particularly for Title I, should be consistent with state and local policy and statute. Such requirements would include the specific elements of annual report cards on school and district performance, the frequency of state and local testing, state actions to assure low performing schools improve, and the rights of students to transfer from low performing schools.

Consolidated Applications and Audits. Each state and local district would submit a single, consolidated application for use of federal funds under its comprehensive plan for all three goals. The required annual reports would be on a consolidated basis. USED would adopt consolidated auditing to conform with the use of funds for purposes within goals or priorities.

Flexibility. The need for waivers is lessened by the new option for states and localities to consolidate programs clustered around a single goal or priority and to address program purposes comprehensively in that portion of their plans.

Ed flex, as expanded from 12 to all states in the first session of the 106th Congress, would be incorporated in the reauthorization with any state taking the option, on the following conditions: 1) that the state's accountability systems are fully in place—including standards, assessments, and student performance goals—as part of an approved comprehensive reform plan; and 2) that the state is fully implementing its responsibilities under Title I, including the identification of schools in need of improvement and provision

of supports and resources to implement plans for the lowest performing schools and schoolwide projects.

States and local districts would continue to include requests for waivers of other provisions of ESEA in their comprehensive reform plans and consolidated applications.

Clustering Federal Programs around Goals for State and Local Option to Consolidate.

Striving for Excellence—Goal 1. Funds for programs under this goal support national actions by USED and would include continued allocations to states for strengthening standards and related assessments for accountability systems, school improvement strategies, and research and development. These funds would include at least \$50 million for state education agencies to continue the work begun using the state share of Goals 2000, to develop high standards and new assessments in the core subject areas; to undertake statewide efforts to align professional licensure, initial preparation of teachers, and induction and professional development programs with the standards; and to build the capacity of local and state education leaders to implement these improvements.

To continue and expand the Integrated Performance Benchmarking System demonstration from the eight pilot states to all states would require \$50 million.

Each state and large urban district would also have a “drawdown” account of research and development funds to direct to labs, research centers, and comprehensive assistance centers and technical assistance networks and design teams for technical assistance, professional development, and comprehensive school reform. The funds to support these accounts would be up to one-half of the appropriation for regional labs and centers.

Other funds under Goal 1, Excellence would be used by USED to support the following: an expanded state and national NAEP, under NAGB; expanded international comparative studies and benchmarking to compare U.S. achievement results with other nations; development and administration of voluntary individual student tests related to NAEP; research and development efforts related to “internationally competitive” standards; research to develop and identify new models of best practice and school improvement and to test out innovative pedagogy and reform strategies; evaluations; technical assistance centers and the remaining appropriation for regional labs and research centers; evaluations; and the Fund for Improvement of Education. Any national discretionary programs under ESEA, and OERI which are reauthorized as grants to states and districts and administered by the Secretary of Education would be included with the goal or priority to which they are related. For example, Star Schools would be included with the Goal 3 priority of Learning Technology.

Accelerating Student Achievement—Goal 2. Funds under this goal would include Title I and

other programs serving “identified populations”. The existing allocations of funds under Title I would be augmented by substantially increased funding stream (\$1 billion) for capacity-building and services to limited English proficient students.

The structure and major programmatic provisions of Title I would be kept intact, particularly its provisions for assessing the progress of eligible students toward high standards, use of disaggregated data, identification of schools in need of improvement, and required technical assistance and supports to schools in need of improvement. States and local districts would be required to fully implement these provisions. If new provisions requiring state report cards are adopted, the required elements should be enacted in a way which builds on and does not contradict state report cards currently in use. The provisions for “schoolwide” projects and **comprehensive school reform** would be continued, coupled with an assurance that the plans for these schools’ use of funds are based on research-based best practice and are adequately supported by state and district resources under Title I. Any expansion of the schoolwide concept by lowering the poverty threshold would be coupled with provisions to assure participating schools have sufficient numbers and proportions of eligible students and federal funds to support an improvement plan of adequate size and scope to be effective. Heavy emphasis would be placed on directing funds for comprehensive school reform to schools with high concentrations of poverty.

Full funding to serve all eligible students under Title I would provide

resources of sufficient size, scope and concentration to improve low-performing and failing schools. Full funding must be accompanied by provisions that assure funds are used in ways that research has shown to be the critical leverage points for effective best practice and student success. These proven interventions must be focused on low performing schools and include strategies such as whole school reform; recruitment and retention of certified, highly qualified teachers to high poverty areas; extended teaching and learning time throughout the school day and year; class size reduction; parent/community engagement; and provisions for health and social services to students and their families.

Title I would also include the 21st Century Community Learning Centers school programs as categorical, state-administered programs under Goal 2 to support school-based, academically-related extended learning. Similarly, authority for Even Start would be continued. States which submit plans for linking Title I; Even Start; Head Start; State/Local Pre-K; IDEA, early childhood; and child care would be invited to apply for incentive grants under Goal 2. The plan would be developed by the SEA in consultation with appropriate agency officials.

Other categorical programs targeted to identified populations would be clustered with Title I funding under Goal 2. State and local plans to enable school-level integration of instructional services within the cluster would be coupled with requirements that student achievement data must be disaggregated by

population groups served; and that states, districts and schools have strategies/specific goals for accelerating achievement and closing the gaps in performance of identified students related to other students. Funds would be driven by intense program improvement through school support teams and comprehensive school reform designs, with required use of Quality, Goal 3 funds to the extent that state and district allocations fall short of the need in low performing, high poverty schools.

Of funds allocated by formula to states under Goal 2 programs, the SEA would be authorized to reserve up to 1% for all administrative functions, including program operation and administration of all parts (including comprehensive school reform, reduced class size, and 21st Century after-school grants) compliance monitoring, data gathering and identification of schools in need of improvement, program evaluation, etc. **Up to 2.5%, increasing to 5% of the total state grant, would be authorized for state services directly to local districts and schools,** with the requirement that all provisions for technical assistance to schools in need of improvement and schoolwide projects be fully implemented. Such services would be agreed upon by the SEA and the district and could include support teams, mentors, contracts with design teams, etc.

Quality in Every Classroom—Goal

3. Funds under this goal would include federal programs designed to build state and local capacity to improve schools and teaching and learning for all students. Programs would be clustered under 6 major national priorities or functions—Professional Development, Class Size Reduction, Educational Technology, School-by-School Improvement, Safe and Drug Free Schools and Communities, and School Modernization—as described below. States and localities would establish goals or targets in each priority area as part of their comprehensive plan. The components of state and local plans for the national priorities and strategies for achieving the targets in each would be integrated, according to the needs of the state or locality, with an option of consolidating funds within each priority if desired.

Professional Development would cluster the current Title II programs of Eisenhower Professional Development, the Reading Excellence Act, and foreign language instruction for the continued training of teachers, administrators, and education leaders at the school, district, and state levels. The Reading Excellence Act would be reauthorized as a \$1 billion formula grant to states, with the state educational agency retaining up to 3% of funds for administration and 12% of funds for technical assistance in the first three years of implementing competitive grants to local districts, and 3% administration/7% technical assistance/5% competitive grants in the next two years of the formula grant to LEAs. The proposed new authorities and funding streams for establishment of summer institutes and other extended programs for intensive professional



training, as well as teacher stipends for participating in professional development and mentoring, would be included as well, but funds for stipends could not be consolidated and used for other purposes. The state education agency could retain up to 1% of the stipend programs to administer the grants to local districts.

Class Size Reduction would authorize the currently-appropriated program with a 1% state set-aside for administration, technical assistance and compliance monitoring. Up to 25% of current funding could be used at the discretion of the local district for professional development, with districts where over 10% of teachers are uncertified in their subject area authorized to use up to 100% of funds for professional development.

Educational Technology would group the current Title III technology programs, Star Schools, and any other technology programs. With the substantial expansion of funding under this title, consolidation of the smaller funding streams is recommended to enable substantial SEA-administered formula grants to local districts for training and equipment.

School-by-School Improvement would cluster the funds that are currently allocated by states to local districts, including Title VI Innovative Strategies, Magnet Schools, Charter Schools, Arts in Education, and any other programs which are targeted to improved teaching and learning which are reauthorized. States or localities could include their plans and goals for this priority and use funds received under this priority in their plans for professional development, technology or safe and drug-free schools, so long as their plans for those components address school-by-school improvements and are accountable on an individual school basis. Similarly, plans and

funds under the other national priorities for quality in the classroom could be consolidated and focus on school-by-school improvement so long as overall quality indicators for each priority are adopted and progress followed.

Safe and Drug Free Schools would group the Safe and Drug-Free Schools and Communities program, programs of health education, and the 5% of funds under current law which can be reallocated from any program to initiatives to connect and coordinate health and social services to education.

School Modernization would encompass the currently authorized school infrastructure programs, as well as the new emergency renovation program and identification of needs and priorities for any newly authorized appropriations for school modernization or tax credits for building and modernizing schools. SEAs or the state agency responsible for school construction finance would administer the programs and would be able to retain up to 1% of the state allocation as in the new school renovation program for each to cover administrative costs. See Federal Education Policy and Funding for more detailed principles and specifications for school construction programs.

State and local plans and applications must demonstrate how use of funds for the priorities under the goal of Quality will assist the state in reaching its objectives for quality and what benchmarks or “quality indicators” will be used to assess progress in each priority area.

Ultimately, the use of funds under Quality should result in improved student achievement, with the performance of identified students in

high poverty, low performing schools and districts as the first priority.

Unless otherwise specified, of all funds allocated to states for programs under this goal, the SEA should be authorized to use up to 3% for administration, evaluation, and technical assistance; up to an additional 7% for statewide and targeted leadership projects and regional delivery of services to schools and districts which benefit students and teachers in the classroom; and up to an additional 5% in competitive or directed grants to local school districts and consortia of districts.

Increase Participation of Nonpublic School Students within Constitutional Limits.

Students in nonpublic schools should participate under all three goals. ESEA, especially Title I for economically and educational disadvantaged students, is a sound alternative to vouchers. For thirty years federal support for elementary and secondary education has served and benefitted eligible students in both public and non-public schools, with public accountability and targeting. This reauthorization must continue ESEA in its appropriate role of support for all American students under constitutionally-tested conditions.

Assistance to Extra-State Jurisdictions.

Continue current eligibility and set-asides for extra-state jurisdictions.

Impact Aid.

Federal funding for education where actions of the federal government, such as location of a military base, impact localities and their schools should be continued.

Impact Aid would be reauthorized as a separate program. **Of special importance is continuation of Section 8009**, which permits a state, under clearly delineated and limited circumstances, to take basic Impact Aid payments into consideration in allocating state aid to local districts.

Programs Not Included.

Vocational-Technical Education; School Nutrition; IDEA; HEA are not in the ESEA reauthorization.

The federal government currently contributes only a third of its initial commitment to cover 40% of the average per pupil expenditure to meet the cost of providing free, appropriate education for students under the Individuals with Disabilities Act (IDEA). Leaving these obligations to disabled students unfulfilled places an undue financial burden on states and localities to make up the difference, draining resources which are vitally needed to serve and improve the quality of education for all students.

The 107th Congress has the opportunity to make good on the federal commitment to disabled students and should:

- **Fulfill the initial promise of IDEA by meeting the federal commitment of 40% of average year pupil expenditures through guaranteed full funding (\$16 billion non-discretionary).** The 40% federal share should be funded as a mandatory or entitlement program, and increases from the current \$6 billion, or 15% federal share, should be provided in 20% increments over five years.
- **Full funding of IDEA must be accompanied by streamlined and simplified procedures for addressing the educational needs of disabled students.** This would include efforts to assure maximum benefit of students with disabilities in standards-based educational reform, including participation in state and local assessments.

- **If authorized as mandatory program, guarantee that full funding IDEA for all eligible students in the future.** Congress should learn from the problems associated with mandatory, or “capped entitlements” from the experience of the states in having their annual formula allocations ratcheted up and down. As a mandatory program, IDEA would be buffered against fluctuating trends and attitudes typical in politics.
- **Modify provisions for state and local maintenance of effort and supplement not supplant, as necessary, during the build-out to full funding to assure that while all eligible students are served to the extent required by law, program funding does not exceed 100% and the current fiscal burden of funding 27% of the federal share is alleviated for states and districts.** The current provision for local education agencies to shift up to 20% of new IDEA appropriations above \$4.1 billion each year to general education purposes must be replaced with provisions that enable states and localities to reduce their expenditures for IDEA as the federal contribution increases to 40% of program costs. There are great differences among the states in the relative state-local contribution to IDEA. Provisions for fully-funding the federal share must alleviate the current financial burden posed by the current federal shortfall in an equitable fashion for both states and local districts. As the federal share grows, a portion of excess funds should be directed to the

discretionary programs, such as professional development, research, development of new inclusion models and assessments, that improve the quality of special education.

- **Reject any proposal for a required state match of the new federal funding.** A state matching requirements would be counterproductive to the purpose of fully funding the 40% federal share of IDEA costs. The intent of guaranteed full funding is to alleviate the fiscal burden on states and localities of paying, in addition to 60% of average per pupil expenditures for disabled students, another 27% of the federal share. A state matching requirement would shift the cost of educating disabled students to the state level, even in states where the SEA is funding more than half the cost of the program to the original intent of 40% federal/60% state and local. It could also result in more than 100% of special education costs being required of states.

- **Sustain and increase federal funding for other federal elementary and secondary programs.** While Congress should make the 40% commitment to fully funding IDEA, they should not siphon funds away from other vital federal education programs to pay for the increased investment.

Fulfill the initial promise of IDEA by meeting the federal commitment of 40% of average year pupil expenditures through guaranteed full funding (\$16 billion non-discretionary).

Full funding of IDEA must be accompanied by streamlined and simplified procedures for addressing the educational needs of disabled students.

The 107th Congress is resuming action begun by the previous Congress to reauthorize the U.S. Department of Education's research, development and dissemination; regional technical assistance; and statistics and assessment functions. Research and data collection are among the original federal roles in education. Over the years, this federal investment has helped to build a body of knowledge about teaching and learning, and has been a critical component in the local-state-federal partnership to raise the achievement level of all students. SEAs have long taken advantage of the knowledge and services provided through the Office of Education Research and Improvement (OERI), the National Center for Education Statistics (NCES), and the National Assessment of Educational Progress (NAEP) and National Assessment Governing Board (NAGB).

A key focus of federal research at this point must be professional recruitment, development and retention strategies and systemic reforms. States and local districts must have the means to communicate and share their experiences and learn from each others efforts. This includes information and analysis of recruitment incentives such as loan forgiveness, reform of initial preparation and licensure through development implementation of nationally-recognized standards of teacher and administrator quality, induction support through mentoring and peer interactions, salary incentives and supplements, sustained and intensive professional development opportunities, and career incentives such as reciprocity of licensure and portability of benefits.

The Council looks forward to continuing to work with Congress to improve federal education research, development and dissemination; regional technical assistance; and statistics and assessment activities overall to:

- **Provide stable and continuous support for education research and development.** Early proposals in the last Congress for the reauthorization of OERI, NCES, and NAEP/NAGB would have created a separate, independent agency to house these programs. By severing the administration of education research and evaluation from other federal programs that states and schools use to improve education, Congress would effectively weaken and limit the potential for greater investment in education research. This split would increase duplication and overlap of research responsibilities. Instead, efforts should focus on streamlining the current structure within the Department of Education, reforming existing OERI leadership and authority to reduce fragmentation and bureaucratic entanglement, and strengthening connections and responsiveness to the field.
- **Improve research capacity, credibility, and dissemination efforts by sustaining and increasing funding for these programs.** As the primary provider of basic and applied research, the federal role is as significant in education as it is in health, transportation, and other fields. However, Congress currently appropriates less than 1 percent of the Department of Education's budget to research,

development, and statistics. According to the Office of Management and Budget, the Department of Education spends the lowest of any Cabinet level federal agency on research and development. The 107th Congress must not settle for these low levels, but agree to authorize OERI, NCES, and NAEP/NAGB at \$1 billion, making comprehensive dissemination efforts and quality research possible.

Federal resources have been important in providing: focused and sustained **research, development and dissemination** on issues such as cognitive development, educational assessment and school reform; valuable **regional technical assistance** to educators; and critical **statistics and assessments** on the condition of education in the nation. These activities result in a body of knowledge which is being continuously integrated into our schools and classrooms, and are most efficiently carried out at a national level to take advantage of economies of scale and to take advantage of learning from and about education practices in other nations.

Research, Development and Dissemination.

An important opportunity for improvement in federal support for education research exists. **For the United States Education Department and the Office of Educational Research and Improvement (OERI) to realize greater potential, its reauthorization should:**

- **Streamline the internal structure of OERI within the Department of Education in order to better focus its research agenda on supporting state and local efforts to improve teaching and learning and enhance the achievement of all groups of students.** A less fragmented structure can focus resources on the greatest educational challenges, while a politically insulated authority and leadership can better enable OERI to set and carry out a long-term research agenda.
- **Continue and enhance the role of state and local educators in determining the federal research agenda.** State and local policymakers and practitioners are among the best judges of current and emerging issues needing greatest attention. State education leaders should serve on the OERI Policy Board, and all state superintendents and commissioners should continue to serve on the governing boards of their regional education laboratory.
- **Improve the research capacity, credibility, and dissemination efforts of OERI.** These goals can be reached through increased funding, enhanced level of staff expertise and quality of scholarship, and increased investment and attention toward dissemination. These latter efforts should include taking better advantage of existing educational networks, such as SEAs and national associations, to distribute research findings to local schools and practitioners.

Regional Technical Assistance.

Regional technical assistance from the many comprehensive centers and regional laboratories in the nation has proved to be important for schools, localities, and states in raising the opportunities and performance of their neediest students. **To ensure quality technical assistance for schools, localities, and states, the reauthorization of OERI should:**

- **Continue funding and support for successful Regional Laboratories and Comprehensive Centers.** In the past, many states have benefitted tremendously from the high quality work and regional assistance provided by these laboratories and centers. Working closely with 11 low achieving schools, where fewer than 20 percent of their students score at national norms, the North Central Lab in Chicago helped to raise student achievement sufficiently to enable more than half of these schools to get off probation in less than two years. The evaluation, standards, and testing center at UCLA has successfully worked with states to improve the value and accuracy of our schools' testing and evaluation instruments. The Consortium for Policy Research in Education (CPRE) at the University of Pennsylvania linked with other researchers has provided valuable service to our members and state agencies. Without continuous and substantial federal resources, these proven and effective regional programs will be significantly undermined.

- **Increase resources for education research, and dedicate a proportion of federal research lab and center support for state education agencies (and potentially large urban districts) to control as "draw down" accounts.** These accounts would enable those responsible for student results to direct their allocations for research to the federal centers and labs doing the work most relevant to their needs and reform strategies. The federal research entities would continue to receive a stable source of funds to cover fixed costs and ensure a base level of work. This base level would increase for those federal research and lab entities throughout the nation to which education officials allocate their draw down funds. Research would then become increasingly demand driven.

Statistics & Assessments.

The federal investment in education statistics through NCES is critical to both the collection, evaluation, and dissemination of information about the nation's education condition and therefore to the efforts of educators and policymakers to identify key issues and respond with appropriate policies. Federally-supported assessments through NAEP and TIMSS (Third International Math and Science Study) are uniquely situated to enable states and the nation to both benchmark the performance of their students to those across the nation and the world and to test the rigor of

their academic standards and assessments. As we move to implement and strengthen an outcomes-based accountability system, the importance of this federal function grows.

These key functions must be maintained and enhanced through NCES and NAEP/NAGB reauthorizations which:

- **Increase the investment in and strength of federal collection, evaluation and dissemination of data on a broad range of educational issues.** Goals should include increasing the frequency and improving the timeliness of NAEP assessments and other data collection, as well as providing further study of achievement level-setting procedures and alternatives at the national, state and local levels. Reauthorization of NAEP should be for a ten year period.
- **Continue NAGB as an independent, bipartisan body with authority for NAEP policy decisions, while maintaining authority for implementation with NCES.** The current NAGB structure and relationship with NCES appears to be functioning well. Because NAEP results mean little without interpretation, important safeguards restricting interpretation are worth consideration so long as reporting authority is not returned to the NAEP contractor.
- **Maintain NAEP participation as voluntary and ensure it is not required for participation in any other federal programs.**
- **Explain the purpose of NAEP to the public, and ensure that NAEP**

is not used for program evaluation or high stakes decisions that could jeopardize its credibility and precision. The

methodology use to compute NAEP results is extremely complex, and therefore NCES and NAGB should actively pursue a simpler, alternative design that preserve the existing long- and short-term trend lines.

- **Continue NCES and NAGB efforts to establish valid links between NAEP and other assessments such as the Third International Mathematics and Science Study (TIMSS), combine national and state NAEP samples, provide states easier access to unreleased NAEP items, and take advantage of incorporating innovative state assessment items.** In all cases, it is essential that such linkages be statistically valid and reliable, understandable by the public and the education community, and take into consideration state policies and often cumbersome federal requirements.
- **Encourage efforts by NCES and NAGB to expand NAEP below the state level, without sacrificing its reliability, validity, and precision.** NAEP was designed as a snapshot of achievement based on a sample of students, making expansion to the school district level a worthy goal. However, development of a separate national voluntary individual test anchored to NAEP could be used to evaluate individual student, classroom, and school performance.

- **Continue the federal initiative to develop voluntary national individual student tests in reading at grade four and in mathematics at grade eight, which are related to the content of NAEP tests and used at the discretion of states and localities.**
- **Expand NAEP's efforts to be more inclusive of all students.** As states move to include more students with disabilities in their own state assessments and federal policy such as ESEA and IDEA encourage the same high standards for all students, the nation's report card should be consistent with these goals. This should not have to be a budget choice.

National Education Goals Panel

CSSO also supports the recommendations of the National Education Goals Panel with respect to the focus of National Goals reports and data collection on student achievement and other goals. These recommendations are included below.

Recommendations of the Measuring Success Task Force
November 20, 2000

Recommendations to National Education Goals Panel:

- (1) That future Goals Reports focus clearly upon Student Achievement, and be organized into 3 parts: Part I to report national and state student achievement data (Goals 3 and 5); Part 2 to summarize results in other goals (Goals

1,2,4,6,7, and 8); and Part 3 to indicate policy implications of the data and promising practices states can adopt to work to reach the Goals.

- (2) That the panel advocate to the new Administration budget to support external data agencies (primarily NCES) in the collection of the following new data with which to gauge the progress of the nation and the states toward educational improvement:

Part 1: Student Achievement Goals 3/5

1. State NAEP assessments in reading, writing, mathematics and science every two years, scheduled to provide new state NAEP data in some subject area each year.
2. Federal subsidy of the costs of administering state NAEP.
3. Federal funds to provide additional incentives and organizational relationships to facilitate state and school participation in NAEP.
4. Development and administration of a predictable schedule of stable, recurring international data collections.

Part 2: Other Goals

GOAL 1 (Early Childhood- Ready to Learn)

5. Repeat- as a recurring direct measure of Goal 1- the Early Childhood Longitudinal Study (ELCS) fall kindergarten battery at 4- year intervals as a national cross-sectional data collection.
6. Continued development and refinement of instruments to assess the language use and social/emotional development of

Kindergarten students, building upon the past experience of ECLS.

7. State administration of refined ECLS-K.
8. A special study of a subset of ECLS students taking the National Assessment of Educational Progress (NAEP) tests when they are in fourth grade.
 - A.) To take Grade 4 reading assessment only
 - B.) To take Grade 4 math and science as well in an off-year.
9. Conduct NCES Early Care and Education Survey.
10. Fast Response Survey System (FRSS) on the extent to which schools offering kindergarten have the attributes that make them ready schools as defined in the NEGP publication of that name.

GOAL 4 (and 8) (Teacher Education and Parental Participation)

11. Conduct special studies of a subset of items from the School and Staffing Survey (SASS) about teacher qualifications (and, for Goal 6, school safety) every 4 years, 2 years between the administration of the full SASS, also on a 4- year schedule.
12. A collection of data from state departments of education, standards boards or other state agencies with this authority on which states have explicit policy links between their state academic standards and their policies for: 1) certifying colleges and universities teacher education programs; 2) certifying new teachers; and 3) defining their professional development requirements or programs.

GOAL 6 (Adult Literacy)

13. Enlarge the sample size of the 2002 National Assessment of Adult Literacy (NAAL) to the size it was in 1992 (so results for large states and important US subgroups can be calculated.)
14. Subsidize the costs of state participation in the NAAL.
15. Special study linking 12th grade student performance on the prose, document and quantitative literacy skills on the National Adult Literacy Survey with their performance in reading on NAEP.
16. Only if not already provided in NCES FY01 budget, fund U.S. participation in the 2002 Adult Literacy and Lifeskills International survey.

Reauthorization of the Personal Responsibility and Work Opportunity Act

The new Congress will consider reauthorization of the Personal Responsibility and Work Opportunity act, the groundbreaking 1996 welfare reform statute. The measure was cast using a “work first” philosophy, relegating education to a secondary role. In the intervening years, the welfare rolls have been reduced significantly as more employable recipients have obtained jobs. Now, however, we are quickly

approaching a time in which the remaining recipients are those with less education and greater barriers to employment, such as disabilities, limited English proficiency, etc.

As a result, the reauthorization of the Act should expand the role of education in helping welfare recipients and the working poor gain and keep jobs by supporting programs of family and adult literacy, services to persons with disabilities, skills upgrading, and incumbent worker training.

The Act should expand the role of education in helping welfare recipients and the working poor gain and keep jobs.

Positions on Issues Related to Reauthorizations of ESEA, OERI, and Full Funding of IDEA.

Importance of Federal Education Action for States and Localities.

Congresses and Presidents over two centuries have acted boldly when national conditions have required federal investment in education. Our nation now faces an internationally-competitive environment that compels an increased investment in education, not a decrease. Over two centuries ago, Thomas Jefferson noted, "If a nation expects to be ignorant and free, in a state of civilization, it expects what never was and never will be." Peter Drucker makes a profound statement about the 21st Century in *The Age of Social Transformation*: "Education will become the center of the knowledge society, and the school is the key institution." Preparation of all citizens for civic responsibility, for economic productivity, and to secure the United States' interests and peace throughout the world requires an increased federal investment in education.

It is very important in reviewing the federal role in education to provide a brief reminder of the long-term impact of federal interventions in education over two centuries. Consider the following contributions in chronological order: the early Land Grants of the Northwest Ordinance and other rights to timber and mining revenues which provided support for the spread of primary and secondary education across the land in the 18th Century; the Land Grant Acts of the 19th Century which established our entire state college and university system; Vocational Education and Vocational Rehabilitation Acts at the time of the first World War

which provided the nation's earliest interventions to connect schools, businesses and farms for employment preparation; the GI Bill which enabled the single greatest expansion of access to postsecondary education the world has ever seen; the Act for construction of community colleges during the expansion of those institutions in the 1960s; the Elementary and Secondary Education Act, which provided for the first time—for states and for the national government—supplemental school revenues for extra services needed by economically disadvantaged children; Head Start; the impact of the Civil Rights Act against segregation and for opening opportunities; and, federal action for students with disabilities, which has resulted in more than a million students now being served than were served 20 years ago.

These federal initiatives have all had important, long-term impacts. The focus in the last 30 years on improving performance of economically-disadvantaged children has led to substantial increases in high school graduation rates and, particularly, an increase in achievement levels for minority students that has closed the gap between minority and majority students by half. The results are not good enough, certainly not enough to assure that all of our citizens are well-prepared for the knowledge society and to prepare for the international competition which the opening of regional and worldwide trade through NAFTA and GATT will bring. But federal interventions have worked effectively for individuals and our nation. The most recent emphasis on standards, quality and pushing for excellence throughout the system is now the most important nationwide education thrust. We must have a federal role, resource and organizational structure to carry that mission.

In 18th and 19th Century America, education was viewed in the context of community schools, K-6 or K-8. In the 20th Century, the perspective has broadened to districts and states, K-12. The outlook for the 21st Century must encompass a national and global context for education and training pre-K-14 or pre-K-16 and throughout life, but the focus must be on the individual in the classroom and the school where learning takes place.

Federal action in education for the new millennium must include the following:

- **Investment in education as key to the “knowledge society.”** Education is at the heart of preparing for a high-performance economy; transitioning persons from welfare to independence; increasing the health and well-being of the society; reducing crime by helping potential criminals to productive employment; and training a highly technical military force.
- **Investment in school improvement to achieve excellence** by supporting state and local reform efforts guided toward world class standards; use of learning technologies; professional development of teachers and school leaders in new practices; drug-free and safe schools; and research, evaluation and information about school progress and improvement throughout the nation.
- **Targeted investment to help all students become high performers.** The challenges of civic responsibility, sustaining democracy, growing the economy, and maintaining security for the nation require that all citizens reach high levels of academic and occupational competence. To meet these objectives requires additional investments for children of poverty, the disabled and children whose native language is other than English. The federal government has and must continue to place a particular emphasis on assuring access to excellence in education.

Principles for Federal Education Policies.

Federal education policies and responsibilities are based on the following principles which have longstanding and bipartisan support:

- **Advocacy for the importance of education and the need for improving the quality of student achievement.** This mission was central in the report *A Nation at Risk* under President Reagan's Administration. It

was reinforced with the establishment of national education goals under President Bush and further reinforced through bi-partisan action incorporating the goals and strategies to codify them in legislation in 1994. The “bully pulpit” role has been practiced regularly by Republican Secretaries for 12 years and Democratic Secretaries for six years. This federal role of advocacy is backed by continuing responsibility for collecting statistics, providing research on educational practice, and reporting on progress to the nation.

- **Targeting of federal funding to students who are economically disadvantaged, who have disabilities, who are immigrants or of limited English proficiency, or whose enrollment is related to a federal installation which causes a federal education “impact.”** This includes continuation of the major programs and concepts under Title I, the Improving America's Schools Act (IASA), the Individuals with Disabilities Education Act (IDEA), and Impact Aid.
- **Preparation of students and welfare recipients for the workforce, including encouragement for integrating academic and occupational education, and stronger connections between education and business.**
- **Support of state and local efforts to improve student achievement through professional development, technology, and development of more challenging standards, curriculum development, and assessments.**
- **Postsecondary student loans and grants.**
- **Support for the research capacity of colleges and universities and other research institutions to expand knowledge and improve health, social, economic, environmental and security practices.**
- **Enforcement of civil rights and rights of disabled persons related to education.**

Administering Federal Education Programs—The U.S. Department of Education Is Essential.

Each proposal for organizing the federal government for education must meet two tests. First, does the organization provide for coherent and efficient services to students, parents, and the educators who serve them? Second, does the organization position a leader with the "voice" for education at a level which reflects the importance and value of education for the nation?

The place of education in the federal government must reflect Thomas Jefferson's understanding of education as the flame of democracy, as well as Peter Drucker's vision of the 21st Century in which education is key to a knowledge society. It also must reflect the strong opinion of the American people in favor of federal investment in education and a Department of Education.

Should there be a Cabinet level official representing education? Should federal education programs be placed in one agency which has the central purpose of education? The answer to both questions is "yes," whether or not there is a downsizing of federal funds for education and/or restructuring of programs.

A Department of Education and Secretary.

U.S. Presidents, whether Republican or Democrat, need to have in their Cabinets a Secretary whose prime focus is education and who is co-equal with other Secretaries.

- **The Education Secretary's role is to advise the President and the Congress on policy for education and to assure that the essential connections are effectively presented and maintained between education and other key national priorities, including education and**

economic development, education and security, education and welfare reform, education and health policy, education and environmental protection, education related to telecommunication and other governmental policies.

- **At the highest levels of the Administration, there must be a spokesperson for our unique, vast, and decentralized education system with the capacity to advocate when federal action in education is appropriate to meet nationwide needs and when it is not.** The spokesperson must be a voice for education to the nation and an advocate inside government on the connections among education and other services. The Secretary must help design the right partnership among local, state, and institutional authorities and the federal government to assure our education resources support national purposes when appropriate, while at the same time the government channels certain national resources to support local and state initiatives and improvement under state and local control.

Organizing for Education Functions.

The central point to be considered for organizing the federal government for education is coherence and efficiency of the current or anticipated federal programs.

- **It is essential that these several functions be coherently administered around the central mission of assisting states, localities and institutions to improve education quality and access to their services for all Americans.** From the state and local perspective, it is essential to have as streamlined an administrative relationship with one federal agency for these several functions as is possible. The primary responsibility for education is with the states and the localities. The federal role is supplemental. States and localities must be enabled to link federal support and programs effectively with their

resources. The last Congress made great strides in consolidation which must be advanced.

- **Education functions need to be in a single department in order to attract top level educators and officials to administer the programs and advise the President and Congress.** The level of position within the federal structure is important. Earlier a point was made about the necessity of Education Secretaries being co-equal with other Secretaries to advise the President. Persons such as Secretary Ted Bell, Secretary Bill Bennett, Secretary Lamar Alexander, and Secretary Richard Riley would not likely have taken the position of leadership at the federal level in education if that position had not been at the Cabinet table. The key second tier leadership roles in education at the federal level will not attract top flight personnel unless their roles enable them to contribute significantly to the education challenges of the nation. Well-qualified leadership at the federal level is critical to the nation's best interest. To advance education excellence in America requires the best of our talent for leadership. The federal organizational structure must assure this.

A separate U.S. Department of Education is required to articulate the several major national interests in education, including preparation of the workforce, preparation for participation in democracy and society, and participation in a global economy. The federal government's interest in education is not limited to workforce preparation. The framers of the Constitution saw the role of an "educated citizenry" in sustaining the Republic as a democracy. While the function of education is left to the states and localities, the 14th Amendment reinforces the federal role in assuring equitable access to education. The American public's interest is also in improving student basic skills and problem solving; providing safe and drug-free schools; preparing for civic responsibility and literacy; assuring strong values through

education; equitable access and educational opportunity for economically disadvantaged and disabled children; and, assuring civil rights. Interests in postsecondary education include research and general education, as well as preparation for employment. These interests may ultimately be linked to workforce preparation, but they must not be organizationally subordinated to that mission. If Peter Drucker is right about the centrality of education and the school in the next Century, the American people are right in identifying education as a top priority.

Since the USED was established in 1979, one of the most significant influences on the drive for improving quality and student achievement in American education has been a close analysis of international competition in economics, military status, and education. We are comparing ourselves on student performance. We are comparing ourselves on classroom and school practices in other countries. We need also compare ourselves on the commitments that governments in industrialized trading partners and in the developing world are making in education investment, educational policy, and governance. None of them are pulling back on their national commitment for education. None of them are closing down a Department or Ministry of Education. They are, in fact, increasing their national investment in education. They know that if they can gain an edge in education, they will gain in productivity and in their capacities as knowledge societies to strengthen their economies and quality of life.

Recommendation

The United States needs to continue the U.S. Department of Education to effectively position a nationwide voice for education and to efficiently implement services to localities, states and students.

Responsibilities of the States and Their State Education Agencies in Restructuring American Education.

Major new programs and proposals under consideration by the United States Congress and Administration in areas such as workforce education and training, health, and welfare include a substantial transfer of responsibility and administration for federal funds to the states. These transfers are premised upon increased expectations for states to establish standards, performance indicators and benchmarks, and accountability systems for the services transferred. They also require increased service and technical assistance by the states to assist local entities in improving the quality of programs, especially where they are below standard. The states must be provided with adequate resources to carry out these responsibilities or the expectation of improved effectiveness and efficiency in the use of the federal funds by the states will not be realized. Setting standards, providing for effective quality review, monitoring and accountability, particularly providing increased service to local units which are not performing effectively, requires greater levels of personnel and state capacity than was the case for earlier responsibilities of regulation and report monitoring.

Within many of the states, there are significant proposals for restructuring relative responsibilities among schools, school district, and state agencies. At the core of these proposals is a shift of responsibility toward school site decision-making and a turn away from state regulation and monitoring. Here again, however, there is an underlying premise: to have decentralized decision-making, there must be state standards, assessments, accountability and, in particular, technical assistance to those local entities which do not meet standards. Unfortunately, many of these proposals are accompanied by severe cutbacks in

resource at the state level, rather than a recognition that for a more effective technical assistance, standard-setting and accountability, resources must be expanded not cut. Moreover, many of these proposals contain detailed provisions for state action and reporting which, if adopted, will require considerable additional expenditure by states to meet the requirements.

These moves to restructure, in fact, require a greater state level responsibility on certain key aspects of program implementation and operation. In addition to these responsibilities, it is essential to provide for the major state level responsibility to assure constitutionally-equitable provision of education for all children. By state law and constitution, states have ultimate responsibility for all children and must have the capacity to assure their rights are met. This involves not only issues of financial distribution for equity, but also more complex matters of assuring adequacy in the actual provision of services through well-qualified teachers and administrators, adequate curriculum materials, technologies, facilities and materials. The states must, in addition, deal effectively with increasingly mobile populations which have students moving extensively within and among districts and with the increased importance of providing improved learning through technologies. On both of these issues, planning and implementation beyond individual schools and school districts is critical to assure success for all.

In order to succeed, efforts to restructure federal support for elementary and secondary education must respect state sovereignty. Each state has established constitutional or statutory responsibility for education with roles for the state board of education, chief state school officer, governor, state legislature, and perhaps, other officials. **Federal legislation recognizes state sovereignty to establish the structure for operation of education programs by providing for education programs to be administered by the SEA, defined as the agency "primarily responsible" for education under state constitution or law. If Congress were to**

assign education responsibility to the "State" (which is consistently defined in legislation as the governor or chief executive officer of the state), it would supersede state constitutions and statutes established by their citizenry through state legislatures, which make other assignments of state authority for education. For example, in the state of Georgia and a dozen other states, the elected chief state school officer and/or elected or appointed state boards of education have the responsibility for education programs. Congress must not violate state sovereignty for determining administrative responsibility for education.

Respect for state sovereignty is also important to ensure effective linking and coordination of federal resources with state and local goals, programs, and resources.

State education agencies plan for and administer both federal and state education programs. Local education agencies (school districts) receive most federal and state education funds through the SEA, which is not only responsible for the use of federal and state funds, but also for accreditation, teacher certification, graduation and course requirements, and other areas of education policy and operation in the state.

To decouple the administration of federal education funds from state and local education funding streams and authority would seriously undermine the leverage and effectiveness of the federal dollar. In fact, one key rationale cited for block grants is to enhance the effective link-age among federal, state and local funds and programs. This coordination will occur only if the agency designated under state law and constitution as responsible for state and local levels of education also administers the federal programs.

Assignment of federal education funds to agencies other than the SEA has important negative consequences for local school districts and schools. Those institutions would then be forced to work with two or more state agencies on the

same service—one responsible for state funds and the other for federal funds. For them, the promise of streamlining and flexibility would become in reality the problem of two state administering agencies and most likely an additional intermediate county or regional government agency. These institutions are much more effectively served through a sole state education agency.

As these significant forces in education and other fields of government service push toward decentralization and move resource decisions as close to the classroom as possible, it is important to assure that—for the responsible implementation of federal authority, for required implementation of state constitutional rights, and for the most efficient provision of services, such as professional development, research and demonstration, curriculum development, and learning technologies—essential state education services are provided. For the education systems to be high performance systems, it is essential for the responsible agencies to be high performance agencies. The capacity of leadership at the state level is critical for high performance student success.

Recommendations

- **Ensure effective linking and coordination of federal resources with state and local goals, programs, and resources through a respect for state and local education authority.** At the state level, federal legislation must continue to recognize state sovereignty to establish the structure for operation of education programs by providing for education programs to be administered by the SEA, defined as the agency "primarily responsible" for education under state constitution or law.
- **Provide adequate state-level set-asides of federal program funds to enable SEAs to both responsibly administer federal education funds as well as provide necessary assistance to**

schools to facilitate and support their improvement efforts. Statewide leadership is needed in the development and implementation of state standards and assessments and in the providing of direct technical assistance to local education agencies.

Federal Education Funding for FY2002 and Beyond.

The Council was extremely pleased with the record \$6.5 billion or 18% increase in FY2001 education funding. This type of investment is critical to the overall prosperity of America. Last year, as in each of the previous several years, the Council joined the education community in advocating for a 15% increase in federal education investment, translating to roughly \$5 billion a year. Fortunately, this goal was exceeded in the final FY2001 budget, and we plan on advocating for continued increases in FY2002. Furthermore, by fully funding Title I and IDEA on the mandatory side of the budget, \$14 billion in discretionary spending will be freed up to increase funding for other critical education programs. **In light of the projected budget surplus and the need to invest in America's students and workforce to sustain our productivity and economic health through the 21st century, a stable, substantial annual investment in education similar to FY2001 must be assured.**

The major contribution which education can make toward a continued budget surplus is to equip the population with the skills and knowledge to grow our economy and produce sufficient tax revenues. The need for international competitiveness in an era of open trade and the need to close the skills training gap under welfare reform make poignant the importance of increased federal education resources. Without education investment, our economy will not grow; and without economic growth, the budget will not remain balanced nor the

national debt reduced. Despite the overwhelming evidence of the link between education and economic productivity, federal support for elementary and secondary education has declined in the past 15 years, from 10% of total expenditures in 1980 to only 7% today.

While bipartisan agreements on double-digit increases in education funding have been reached for all but one of the last six years, these agreements have been as much the result of partisan disagreement on educational priorities to be funded as genuine consensus on the need and efficacy of enhanced federal support. There are still advocates of cutting federal support to education who argue that the proportion of federal funding is so "small" as to not make a difference. Such reasoning misses the point that federal education programs have a profound impact by: (1) targeting critical resources to advance access to quality education for disadvantaged and special populations of students most in need; and (2) leveraging support for state and local efforts to improve the quality of teaching and learning through research-based strategies. **The impact of this federal investment is most significant in the many states and localities which have greater needs and fewer resources.** These needs are growing throughout the nation, including record student enrollments, growing proportions of students in poverty and with special needs, dilapidated school infrastructure, hundreds of thousands of new teachers who require training to high standards, and the growing gap in access to technology among students.

Recommendations

As states and localities continue to reform the educational system and raise expectations for all students, we urge the Congress and the Administration to adopt the three national education goals and investment strategies necessary to reach them outlined earlier in this document in FY 2002 and beyond, as follows:

- **Provide for guaranteed full funding for programs which advance access to quality education for students most in need, such as Title I of the Elementary and Secondary Education Act (ESEA) and the Individuals with Disabilities in Education Act (IDEA) by shifting current funding and authorizing increases to cover the cost of all eligible students to mandatory spending.** These programs together serve the students who need the most assistance to succeed. Constituting nearly 40% of their age cohort, the knowledge and skill levels these students attain will either spur or drag our future economy. Yet, these programs are severely underfunded. Guaranteed funding streams, whether authorized as entitlements or mandatory, non-discretionary spending, should be phased in over a five-year period to the level needed to serve all eligible students under Title I and to meet the full 40% federal obligation under IDEA.
- **Use the \$14 billion in discretionary spending which is freed up by guaranteed funding of Title I (\$8 billion) and IDEA (\$6 billion) on the mandatory side to support a major new federal investment in educational excellence and quality by adopting the discretionary authorities recommended under national strategies to achieve the three major educational goals.** This strategy does not increase domestic discretionary spending. Programs that are new or current programs expanded to over \$1 billion could be, like the Title I and IDEA increases, phased in over a five-year period.

Proposals for Block Grants and Education Revenue Sharing.

Like the 105th Congress, the 106th considered a number of proposals to both consolidate federal elementary and secondary education programs into block grants and increase the flexibility of states and localities to implement those programs. With the exception of passage and enactment of an expanded option for "ed flex" authority to all states, none of this legislation was passed by both chambers of Congress. In fact, even without the reauthorization of ESEA, the numbers of programs, often small in scope and funding, continued to increase as one-year authorizations on annual appropriations bills. In addition, new appropriations provisions, such as those requiring local districts to offer public school transfer options to students from schools identified as needing improvement and to purchase blocking and filtering software, increased costs and reduced flexibility for state and local education agencies.

In the 107th Congress, consolidation, block grant and revenue sharing proposals will remain one focus of the Congressional debate on the efficacy and structure of federal support to elementary and secondary education. Efforts to improve the effectiveness and flexibility of federal programs are important and necessary. However, recent proposals such as "Straight As" and "transferability" (see positions below) represent attempts to transfer federal funds to localities without targeting or accountability, resulting in little more than general aid or revenue-sharing. This and other recent proposals have been based on erroneous "findings," which imply that most federal funds do not have an impact on the classroom or benefit students. Studies by the General Accounting Office established clearly that federal funds administered through the states have direct classroom impact.

Enactment of Goals 2000: The Educate America Act, the Improving America's Schools Act (IASA), and the School-to-Work Opportunities Act (STWOA) in 1994 provided a solid basis for

additional integration and consolidation of federal education programs. Under Goals 2000 or ESEA, states have developed comprehensive plans and are merging existent federal categorical program plans into comprehensive state and local designs. State plans are structured around standards and provide for an alignment of the use of federal, state and local funds toward improving the curriculum, instruction, professional development, use of technology, materials and assessment. Additional options to merge programs and funds are authorized in the provisions for consolidated applications, consolidation of administrative funds and schoolwide projects.

In 1999, the Congress and Administration expanded "ed flex" from the 12 state demonstration to all 50 states. CCSSO supported this expansion. The program gives eligible states, which have the authority to waive their own education regulations, the authority of the Secretary of Education to waive certain federal regulations for local districts. Efforts to continue the goal of connecting flexibility to accountability are important. Any provisions for Ed Flex must be incorporated into the ESEA reauthorization and made consistent with any changes in the programs under that reauthorization.

Schools, school districts, and states have had five years experience in implementing plans developed under Goals 2000, IASA and STWOA. Any further consolidation of federal elementary and secondary education programs should be built around these plans at the local and state level and reflect evaluation of the experience using the current waivers and flexibility. If any new designs for flexibility or block grants do not build on the existent initiatives, at least one and perhaps two, academic years will be lost with respect major local innovations support by federal resources.

CCSSO has supported provisions for flexibility for states and localities in return for state obligations of accountability for student achievement in programs authorized by ESEA. CCSSO's recommendations to Congress on the reauthorization of ESEA—"First in the World"—include a new and expanded option for state and local education authorities to integrate or

combine funds under similar federal programs within explicit national goal or priority areas, as part of a comprehensive plan for educational reform.

Straight A's and Other Education Revenue Sharing Proposals.

In the 106th Congress, a proposal entitled, "Straight A's" was advanced to authorize a state to "re-legislate" the use of funds under the ESEA and Vocational-Technical Education Act formula programs to support any educational purpose authorized by state law. Although this proposal was first referred to as an expansion from Ed Flex to "Super Flex," in reality it turns federal aid under ESEA and vocational technical education into education revenue sharing.

CCSSO has presented a substantial expansion of flexibility with accountability as part of the ESEA reauthorization in our proposal, "First in the World." This proposal offers states the flexibility while assuring federal taxpayers of the effectiveness of federal education expenditures. **The radical departure of converting ESEA, and Vocational-Technical Education to revenue sharing is inconsistent with the CCSSO position and must be opposed for the following reasons:**

- **Targeting of federal aid to elementary and secondary education to national priorities and students in need of special assistance to succeed.**

CCSSO's proposal not only retains, but explicitly identifies, major goals and national priorities associated with ESEA programs and assures that federal funds will be spent for these purposes and on the student populations targeted for federal assistance. In contrast, Straight A's is education revenue sharing, through which virtually any or all ESEA grants to states could be consolidated and used for any purpose authorized by state law. The legislation has no requirement that funds be used in any relation to the purpose for which they were appropriated, nor even that they be used to serve

the student populations which have been identified as needing special assistance. Under Straight A's federal revenues are collected, appropriated for targeted aid to elementary and secondary education, and then returned to states and districts that enter performance agreements with the Secretary as general aid to education. There is accountability for neither the use of the funds, nor for the actual results realized through the funds.

- **Governance of education by state education authorities.**

CCSSO's proposal assures that the state education officials who are responsible for elementary and secondary schools have authority to plan for and administer federal ESEA funds. Straight A's transfers to governors and state legislatures the authority to legislate the use of the federal funds and to develop and enter into a performance agreement with the Secretary for consolidation of any or all of the federal education formula programs to states authorized by ESEA, the Perkins vocational education program and adult education. The state education agency must only be "consulted" in development of the performance agreement, and then, only if the SEA is designated by the state constitution. This proposed federal provision would override state sovereignty for education and would separate federal funds for K-12 education under the performance agreement from the rest of federal and state education programs, resources and authority.

- **Accountability for federal aid to elementary and secondary education.**

CCSSO's proposal for the reauthorization of ESEA maintained the purposes and targeting of federal funds, as well as provided for accountability based on disaggregated student achievement and state and local performance toward other targets and quality indicators for which federal funds are specifically appropriated. The revenue sharing of federal funds under Straight A's and open-ended option to use the funds for any educational purpose authorized by state law provides no

accountability for results achieved with

federal funds. Data on student achievement need not be disaggregated unless Title I funds are included in the performance agreement. Funds need not be used to serve students eligible under the federal programs included, and there is no requirement that student achievement be accelerated or the gaps in their performance and that of all students be narrowed and closed over time for a state to meet its performance goals. There is no requirement that the purposes of federal programs related to educational reform and quality of instruction be addressed in the performance agreement, nor that goals be set for teacher quality, school safety, and other national priorities identified in federal programs. In any state or district participating in Straight A's, there would be no way to determine what, if any, impact the federal funds had in achieving, or failure to achieve, the state's educational goals.

CCSSO policy supports targeting of federal funds to national purposes and priorities, administration of and accountability for federal funds by state and local education agencies, and connection of those funds with other federal and state education programs. The Council opposes legislation such as Straight A's which would undermine these very basic and essential features of federal aid to education in the programs to be incorporated within Straight A's. If Congress determines that a demonstration of the effect of providing revenue sharing for education was desirable, Congress should create a new program with additional funding from the mandatory side of the budget.

Transferability.

The proposal for "transferability" is another form of block granting federal funds across programs with dissimilar purposes and converting federal programs to revenue sharing. No matter what the label, these proposals fundamentally undermine targeting of limited federal funds for strategies to improve classroom quality and for direct services to students with the most critical needs. Block granting has been tried before and

Congress has subsequently abandoned it, because compromising targeted strategies does not work.

Congress should avoid repeating past mistakes and avoid “transferability” for the following reasons:

- **Provisions to block grant through transferability eliminates the guarantee that the purposes for which Congress appropriates money—teacher quality, technology, or improvement in mathematics and science, for example—will actually be served.** States and localities would be authorized to ignore those purposes.
- **Provisions to block grant through transferability eliminates the guarantee that students with the most critical needs for supplemental help are served.**
- **Transferability stymies increases in federal funds for specific classroom improvements.** If transferability is enacted, the future response by its advocates when presented evidence of the need to increase funding for education priorities, will be to advise states and localities to simply transfer existing federal funds from other priorities. Transferability makes education funding a “zero sum” competition. It would be a gross policy mistake at a time when the public is advocating substantial increases in federal funding for targeted classroom improvement.
- **Transferability reduces accountability and deceives federal taxpayers who expect targeted federal funds to be used for the purposes for which they were appropriated.** With no reports on the use of funds and student results related to investment, taxpayers and members of Congress will give up support. They will lose evidence of how funds are used and the results from the expenditures. Accountability for the funds disappears because there is no way to report expenditures and results across schools, districts and states. To the federal taxpayer, the

reason for federal involvement disappears, and so does funding.

Recommendation

Congress should consider any additional program consolidation or flexibility provisions as part of the reauthorization of ESEA. In doing so, Congress should be guided by our Council's reauthorization recommendations in our proposal “Helping Students Be First in the World.” The proposal establishes broad goals and priorities for federal investment in elementary and secondary education; cluster programs around those goals and priorities; and maintain targeting and accountability of funds by enabling state and local consolidation of programs within a cluster pursuant to their comprehensive school reform plans.

Proposals for Public Aid for Students in Nonpublic Education.

In recent years, the U.S. Congress has considered bills to provide direct support of tuition and the costs of education for students in private education, home schools, and public schools. These included the “Parents and Students Savings Account Plus” proposal to authorize tax-free withdrawals on principal and interest on up to \$2,500 in annual contributions to K-12 IRA accounts; the House “HELP” bill, which would have authorized use of up to 15% of Title VI ESEA funds for scholarships for both sectarian and nonsectarian private schools; and a provision in the FY98 D.C. Appropriations bill for scholarships of up to \$3,200 for 2,000 low in-come DC students to use in private schools and public schools out of the district. None of these proposals were enacted into law. During deliberations on the final Labor-HHS-Education Appropriations bill for FY 2001, conferees considered, then dropped, House-passed provisions for “charitable choice” authorizing pervasively sectarian organizations to provide services under the Even Start program without the safeguard of public accountability. The Council

opposed each of these proposals as being inconsistent with its established principles and will oppose similar bills in the 107th Congress.

The Council encourages each state to provide education benefits to all children to the full extent allowed within the state. Programs of aid to children in nonpublic schools should reinforce but not jeopardize the welfare, stability, and adequacy of support for public school or redistribute funds needed for public schools.

The Council believes any federal programs of support for education in nonpublic schools should: (1) be established under the concepts of the "child benefit" and public trustee theories; (2) require accountability for public funds received; (3) contain safeguards against racial and social class isolation in the nonpublic schools; (4) forbid the use of funds for any sectarian purpose or function; and (5) require admission policies to be non-discriminatory except where permitted on the basis of creed.

Legislative and judicial decisions, at both federal and state levels, have directed or permitted public funds to be used to provide benefits to children, parents of children, or teachers in nonpublic schools. The major federal elementary and secondary education programs, including Title I for disadvantaged students, IDEA, Title VI Innovative Strategies and universal service discounts under the Telecommunications Act of 1996, are available to students in public and private schools. Programs such as Goals 2000 and ESEA Title II require that professional development opportunities for public school teachers and administrators be made available to their counterparts in the private sector. Differences among state laws and constitutions, however, result in differential benefits to children in nonpublic schools throughout the country.

Services should be available to students and teachers in both public and nonpublic schools using the principles under which current federal programs, such as Title I and Title II of IASA and Goals 2000, have been established. First, allocation of federal funds for education of students and services to teachers in nonpublic schools is appropriate only when the state has established law authorizing such expenditures and the service meets

state constitutional limits. Federal programs must not supersede state law and provision of service must be limited by federal Constitutional boundaries. Second, allocation of federal funds to students in nonpublic schools must be proportionate to the relative participation of nonpublic students or teachers to the total number of students or teachers in both public and private schools in the state or local school district receiving funds. Third, services for students and teachers in private schools must be in programs which benefit students and teachers both in public and private schools (such as Title I), therefore assuring mutually beneficial support. Finally, federal policy with respect to private education must be within constitutionally permissible limits already defined by the courts.

Proposals to Enhance Public School Choice.

Over several decades, a number of proposals to support and promote public school choice have been passed by Congress and enacted into law. These proposals, which have enjoyed bipartisan support, include the magnet and charter school programs. The 106th Congress, again on a bipartisan basis, passed legislation early in its first session to substantially expand the charter school demonstration program to support x-# of new charter schools.

Charter Schools.

CCSSO supports state and local efforts to experiment with and expand successful public charter schools. Our Council, however, urges Congress and the Administration to assure any federal legislation to support these efforts respects state and local law and policy. Federal legislation should not proscribe the provisions of state charter statutes, nor interfere with state efforts to assure the basic quality of schooling and health and safety of students.

Public School Transfer Options for Title I Students.

CCSSO also urges Congress and the Administration to refrain from adopting national standards for public school transfer of students. The 106th Congress twice adopted provisions in its annual appropriations bills for FY 2000 and 2001 requiring local education agencies to provide a public school transfer option to students in Title I schools identified as needing improvement, as soon as the school is so identified. CCSSO has supported public school transfer as one of the existent options local education agencies can pursue as part of a school improvement plan, and opposed federally-mandated school transfers beyond schools identified for corrective action. Our Council is pleased that the public school transfer requirements adopted as part of the FY 2001 appropriations include provisions for state and local policy and statute to prevail, as well as exclusions for small states and districts which cannot feasibly offer the transfer option. We urge the 107th Congress and the new Administration to limit required transfer options to schools where program improvement does not succeed and corrective action is required and to respect state and local law and policy in federal requirements.

Proposals for Title I ESEA Portability.

Several proposals were been put forward in the 106th Congress to transform Title I of the Elementary and Secondary Education Act (ESEA) into a "follow-the-child" entitlement, similar to Pell Grants for postsecondary students. A "portable" Title I would allocate the per child share of Title I funds to the child's school and move that allocation with the child's change of schools, whether or not the receiving school has the concentration of poverty necessary to receive a Title I allocation. These "portability" proposals give students and parents a false promise of increased educational support for low-income students. However, portability will add no funds by itself and will actually weaken the concentration of support for the

neediest students and schools with the highest rates of poverty.

Title I funds are not currently sufficient to fund all schools with children of poverty. If CCSSO's proposal for full funding of Title I were adopted, there would be no need for a "portability" provision. All eligible students in both public and non-public schools would be guaranteed services.

The current Title I program is not an entitlement. With sufficient to serve only one of every three eligible children, funds are allocated to states and local districts by a formula based on the numbers of Title I students. Funds, and services, are then targeted to the schools, both public and private, with the highest percentage of eligible students, where they can be used to serve any educationally disadvantaged student. It is the concentration of poverty in a school or community, rather than the individual student's economic status, that controls the distribution of supplemental resources and thus provides the basis of federal Title I support.

The Council views Title I as the cornerstone of federal support for elementary and secondary education of those students in both public and private schools most in need of additional help. Title I helps disadvantaged students achieve high standards. The concentrations of Title I funds has proven successful in closing the gap between disadvantaged students and their peers. **While the Council supports efforts to improve the efficiency and effectiveness of Title I, it believes that portability would weaken this important federal investment.**

Portability proposals raise the following serious concerns:

- **No change in law is needed to serve every eligible Title I student.** It is the lack of adequate funding, rather than any provision in federal law, that now prevents Title I from being available to all eligible students. If Title I were fully-funded, all economically and educationally disadvantaged students could receive the supplementary educational services they need to achieve to high standards.

- **Portability diffuses and dilutes the effectiveness of Title I resources.** Portability shifts the focus of Title I from the educational needs of concentrations of low-income students and the effects of concentrations of poverty on schools to an individual student's family income, regardless of the student's educational need. It would dilute the concentration of supplemental funding where most needed to raise student achievement.
- **At current funding levels, portability proposals would result in a significant reduction in Title I resources for the neediest recipients.** Portability would triple the number of students served by Title I without providing a commensurate increase in funds. This would severely dilute the amount and impact of funds now targeted to the neediest students. The concentrations of resources to such students and their schools would be reduced to a scale so small as to provide little or no instructional benefit.
- **Portability dismisses the benefits and success of schoolwide programs and research-based school reform models.** The highest-poverty schools often take advantage of economies of scale to combine federal resources for schoolwide services and whole school reforms. These programs eliminate the stigma and instructional inadequacies of pull-out programs, facilitate the integration of supplemental federal funds as part of the school's overall reform efforts, and focus on the fact that the most disadvantaged students will not succeed unless their entire school improves. Portability proposals would shift Title I funds away from schools that operate schoolwide projects and erode their effectiveness.
- **Portability would create unnecessary administrative burdens.** Portability would be extremely difficult to administer. School budgets must be set far in advance to allow for the extensive planning needed to hire teachers and arrange classes. Portability proposals

would cause continuous disruptions in school planning and budgeting, because the large numbers of students changing school during the school year would require constant reassignments of the funds from one school to another.

- **Portability would reduce or eliminate Title I program accountability for the achievement of eligible students.** Portability's exclusive focus on Title I as a funding mechanism undercuts provisions for accountability. For example, current provisions hold schools accountable based on disaggregated achievement data, but this important provision would be rendered unworkable in light of the movement of students and Title I funds among schools and districts. Similarly, the mid-school year transfers of Title I funds and students would impede integration into the school's standards-based instructional programs and reforms.
- **Portability would also reduce accountability for Title I funds by shifting oversight for those funds from the public to the private domain.** For more than thirty years, Title I has followed a carefully crafted, constitutional process by which eligible public and private school children are served, but all resources and services are overseen by the public local educational agency. Portability proposals allow Title I money to follow a child to a non-public school in a way which would undermine the important principle of having a public agency serve as "trustee" of federal funds.
- **Portability would do nothing to increase student choice among schools.** Current Title I law does not restrict a student's ability to attend the public or private school of choice, and students in both sectors in eligible schools receive Title I services. Under portability, a student's choice among public schools would remain limited by state and local enrollment policies. Unless a portability proposal fundamentally reshapes Title I into a voucher

program, a student's financial access to a private school would be unchanged. Title I is directed toward supplemental instructional assistance and cannot be used for tuition costs at the private school.

School Modernization.

Parents, educators, researchers, policymakers and the courts have increasingly recognized that a high-quality learning environment, including adequate facilities, is an essential prerequisite for a quality education. However, there is little doubt that both rising educational costs and aging school facilities have combined to place increasing pressure on the condition of the nation's elementary and secondary educational infrastructure. The General Accounting Office (GAO) reports in *School Facilities: Condition of America's Schools* that "the nation's [elementary and secondary] schools need about \$112 billion to repair or upgrade America's multi billion dollar investment in facilities to good overall condition. Construction and maintenance of elementary and secondary school facilities have traditionally been state and local responsibilities. However, evidence gathered in this GAO report as well as anecdotal incidents found nationwide have shifted the issue to the national level.

While not traditionally viewed as a federal issue, the federal government has provided funding for school facilities through a variety of programs over the years, largely as a means to satisfy various federal environmental and accessibility mandates. Realizing both ordinary and mandated needs were not being met, Congress recently appropriated \$1.2 billion in the FY2001 budget for emergency school renovation projects. This is in addition to prior action which included passage of the Education Infrastructure Act of 1994, providing grants for school repair, renovation, and construction. Both of these programs have signaled that policy makers in Washington, DC are concerned with the disrepair of the nation's school infrastructure. The Taxpayer Relief Act of 1997 opened another source of

national funding for school modernization. The Act authorized federal Qualified Zone Academy Bonds (QZABs), which provide tax credits to lenders to pay the interest on bonds for a variety of school expenses including building renovation. Most recently, President Clinton and Members of Congress have proposed a larger school construction tax credit initiative that had bipartisan support and over 230 co-sponsors in the House to help local communities and states rebuild the nation's schools, largely by leveraging federal funds through the subsidy of interest costs.

Should legislation be advanced in the 107th Congress to provide assistance for elementary and secondary school facilities, several important principles must be addressed. First, as a relatively new federal issue, any program must not jeopardize existing federal priorities by either competing for the limited available funding or over stretching the nation's interest in a limited and focused federal role in education. Second, as a traditional local and state function, any federal involvement should be closely integrated with these current school facilities finance and oversight structures. Third, a federal program must supplement rather than supplant local and state funding.

Recommendations

- **Any new federal program must not be funded at the expense of existing federal educational priorities.** The federal role in the nation's elementary and secondary schools has been carefully defined over the years, focusing on the key priorities of educational equity and quality where federal involvement could be leveraged to spur improvement. Alternatively, school facilities have been primarily a state and local responsibility. While the federal government's re-sources can improve the nation's dilapidated school facilities, thereby enhancing students' educational equity and quality, any new federal initiative must not jeopardize the federal government's current commitments to the nation's students.

- **New federal dollars must be used primarily to supplement rather than supplant existing state and local dollars already targeted for school repair, renovation, and construction.**

Although state and local facilities initiatives are in a constant state of evolution and flux, the federal program must nonetheless insure maintenance of effort, while not penalizing those state and local proposals which were originally rejected for financial or other reasons.

- **In order to ensure the proper coordination, administration, and oversight, the federal program must to the greatest extent possible be channeled through the existing state school construction financing structure.**

Such state involvement will provide for the most efficient and effective use of limited resources. First, distribution of state and federal aid can be coordinated to guarantee that the most disadvantaged communities are properly served. Second, with structures already in place to administer state aid, the existing state agencies can simply expand their administration and oversight roles in a way which the federal agency can not. This requires provisions for the program to be administered by the state education agency or the state agency primarily responsible for school construction finance, as is done in the new \$1.2 billion emergency school renovation program.

- **Any new federal financial commitment to improve the condition of our nation's school facilities must be of a sufficient size and scope to meaningfully address this tremendous national problem.** The current \$112 billion need identified by the GAO would require a substantial federal investment for interest subsidies to be effective. While the new emergency renovation project is an excellent start, the federal contribution needs to continue to leverage

much more in new bonding authority to be commensurate with the identified need.

The following should also be included in the provisions of a federal program:

Selection based on a priority ranking system, ensuring that health and safety issues and space shortages in the poorest districts are addressed first;

Incentives to reserve a portion of the funding for maintenance, often the first item sacrificed in funding shortfalls, to ensure a more long-lasting investment;

Incentives to incorporate cost-effective measures, including energy efficient and low-maintenance buildings, to provide for an even greater return on the investment; and a linkage to comprehensive facilities plan aimed at permanent rather than piecemeal solutions.

Conclusion

These goals and concepts represent a substantial new vision for federal support to elementary and secondary education. They focus strongly on three goals and purposes for federal funding and recast current programs related to performance targets and improved accountability. Our Council is prepared to assist the Administration and Congress in every way to establish a new direction for federal action which will help our students become "first in the world".

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Dr. Ruby Simmonds
Commissioner of Education
Virgin Islands Department of Education

Dr. Teresa Bergeson
Superintendent of Public Instruction
Washington Department of Public Instruction

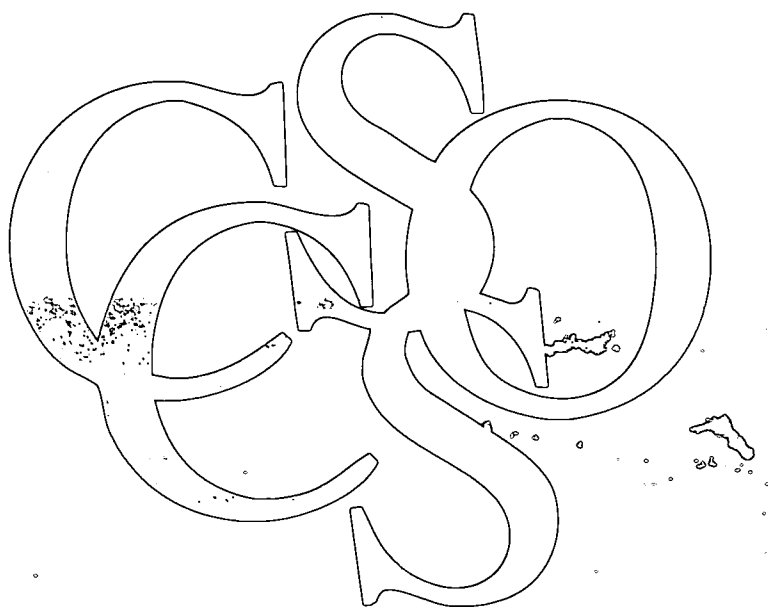
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State Superintendent of Schools
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Wisconsin Department of Public Instruction

Mrs. Judy Catchpole
State Superintendent of Public Instruction
Wyoming Department of Education

Helping Students To Be First In the World

*Summary of
Recommendations for
Federal Action on Legislation
107th Congress*



Council of Chief State School Officers

Helping Students To Be

A Vision of Federal Education Reform in the 21st Century

The 107th Congress and the President have a unique opportunity and imperative to enact a new federal role for improving elementary and secondary education. The challenge ahead is unprecedented—to help students in the United States achieve educational performance which is First in the World. The challenge must be met in a world and nation which are dramatically different from 35 years ago when the Elementary and Secondary Education Act was first enacted. At that time, the focus was on overcoming the achievement gap between children of poverty and those of more affluent families within the United States. Today, that part of the challenge persists; it is joined, however, by a second part -to overcome the international gap between achievement of American students and those of our major economic competitors.

The members of the Council of Chief State School Officers urge Congress and the President to help students be “First In The World” by acting on three goals: 1) establishing rigorous expectations for excellence in education; 2) funding acceleration of student learning for those not meeting standards; and 3) investing strategically to improve the quality of all classrooms.

The first task is to realize the federal obligation to all special needs students by: 1) *fully funding Title I so that every economically and educationally disadvantaged student in either public or private school is served;* 2) *fulfilling the federal commitment to share 40% of the cost*

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of educating disabled students; and 3) providing funds for the extra assistance immigrant and limited English proficient students must have to reach standards.

The second task is to assure that all students learn in classrooms which have: 1) *the instructional programs and materials needed to master the content and skills they are expected to learn; 2) well qualified teachers and school leaders who provide the instruction to meet challenging new standards; and 3) facilities which are modern, technologically up to date, and safe.*

The third task is to: 1) *help states and localities have the quality of standards, assessments, and measurements of progress which enable students to strive for excellence, and 2) to invest nationally in the research, reform strategies, and information systems commensurate to meet nationwide goals.*

Our recommendations call for substantial increases in the federal investment in educational capacity. At a time of federal budget surpluses, it is the best investment to be made in America 's future. It is an investment the public repeatedly endorses. Our recommendations urge strongly targeted federal support to supplement state and local efforts and increase capacity to educate our students for the 21st Century world.

We look forward to working with Congress and the Administration on this challenge. The reform strategies must be debated and refined, but the imperative of "Helping all Students be First in the World" must be reached.



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Goals for Federal Investment

1. Setting the National Objective: U.S. Students - First in the World

Establishes the purpose of federal funding and the order of priority and magnitude of the federal commitment. Establishes the basis for flexibility and accountability in use of federal funds.

2. Accelerating Academic Progress for Students in Both Public and Private Schools in Greatest Need of Help by:

- Serving every economically and educationally disadvantaged child eligible for Title I, ESEA. Authorize Title I as an entitlement program and shift funding from a discretionary to a mandatory part of the federal budget;
- Fulfilling the federal commitment to share 40% of the cost of educating disabled students. Authorize IDEA under the mandatory part of the federal budget;
- Funding extra assistance for immigrants and limited English proficiency students to learn effectively in the English language; and
- Funding Early Childhood education grants for economically disadvantaged children through state and local education agencies.

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3. Supporting Quality in Every Classroom by Supplementing State and Local Funds to:

- Improve teacher quality through professional development and incentives with an emphasis on mathematics, science and technology;
- Increase reading results;
- Reduce class size for higher achievement;
- Provide time for students to learn after school and in extended school years;
- Expand use of technologies to learn;
- Expand programs which equalize access to telecommunications and the internet through Universal Service Discounts; and
- Provide school modernization bonds and tax advantages.

4. Providing Flexibility for States, Local Districts, and Schools in using federal funds through comprehensive plans for the use of the funds, specific goals to be accomplished with the funds, and with authority to combine federal programs having similar purposes to achieve those goals.

5. Assuring Accountability in Use of Federal Funds through the support of state education agencies Systems of standards, assessments, accountability, technical assistance, and annual reporting on use of funds and results.

6. Supporting Research to Improve Education Practice and the National and International Assessments and System Reporting to measure progress toward national, state, and local objectives.

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Key Legislative Provisions

Investment in Students Most in Need. *Accelerate academic progress for students in both public and private schools in greatest need of assistance by:*

- 1) Serving every economically and educationally disadvantaged child eligible for Title I, ESEA.** Authorize Title I as an entitlement and shift funding from the discretionary to a mandatory part of the federal budget, with extra support for immigrant and English language learners to meet standards;
- 2) Fulfilling the federal commitment to share 40% of the cost of educating disabled students.** Authorize IDEA under the mandatory part of the federal budget; and
- 3) Using the “freed-up” discretionary funds to substantially invest in quality in the classroom,** through professional development, learning technologies, math and science programs, summer and extended learning programs, and school modernization.

Teacher Quality. *Authorize a substantial increase in federal support for teacher quality. Maintain separate funding streams for K-12 professional development, with emphasis on math, science and reading, and for reduced class size.* Require that states and localities have a coherent plan for recruitment, professional development, and retention of teachers and for class size reduction in their comprehensive plans for ESEA. Permit funds and programs to be integrated and consolidated so long as specific goals for teacher quality and supply are being met.

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Comprehensive State and Local Plans. Provide for integration of Elementary and Secondary Education Act (ESEA) programs through comprehensive state and local education agency plans with focus toward achievement of three goals: excellence in education, acceleration of student achievement, and quality in the classroom.

Restructure ESEA to Streamline and Integrate Programs Towards the Three Goals. *Cluster similar programs around each relevant goal.* For example, programs that serve students with special needs, such as Title I for the disadvantaged and bilingual and immigrant education, would be authorized under the goal of accelerating student achievement. The cluster of programs for quality in the classroom would include professional development, class size reduction, technology, school improvement, safe and drug-free schools, and school modernization. ***Authorize states and localities to integrate programs and funds within each cluster to achieve their goals for increased student achievement of the target populations and enhanced quality in the classroom.***

Accountability. *Base accountability for use of federal funds on 1) the net change in the performance of identified groups of students toward state and local standards, and 2) state and local progress toward their goals for quality in the classroom according to indicators related to the use of the funds.*

Testing. *Provisions for additional testing, such as in grades 3-8 in reading and math, must provide for a combination of state and local assessment consistent with each state's accountability system, and with provisions for flexibility that meet the overall objectives of annual assessment.*

SEA Leadership. *Rely on each state's education authority, as designated by state constitution or statute, to plan, administer, and be accountable for federal education programs.* The state education agency (SEA) is the individual or entity in each state with authority under state constitution and statute for elementary and secondary education. State law assigns responsibility for K-12 education and the respective roles of the state board of education, chief state school officer, governor and legislature. SEAs must be accountable for the use and results achieved with federal education funds, as they are for use of state funds.

SEA Administration. *Provide for each state education agency to revise and approve the state's comprehensive reform plan, submit the consolidated application for ESEA funds to the U.S. Department of Education, and administer the programs.* Using SEAs to administer federal funds places responsibility for establishing priorities and quality control with the accountable state authorities; links federal funds with state resources and initiatives to amplify the impact and efficiency; and decentralizes administration and accountability to enable greater local control.

SEA Capacity to Assist Local Agencies and Assume Accountability. *Authorize specific state-level uses of funds in each ESEA title to assure adequate, reliable support for SEA administration, accountability, and assistance to districts and schools, as follows:*

- 1) Continue the 1% state-level set-aside of total basic and concentration grants for the administration of Title I.
- 2) Increase the current Title I set-aside for program improvement from .5% to 3% for next year and then increase it to 5% of each state's basic and concentration grants. This will assure each of the 9,000 schools throughout the nation currently identified as low-performing receives technical assistance and support to raise student achievement.

Authorize SEAs to use up to 30% of the additional Title I program improvement set-aside to meet federal requirements for state provision of technical assistance and high quality support services to all low-performing schools and districts.

- 3) For each of the Titles of ESEA, authorize a state-level set-aside of up to 5% of funds allocated to the state for administration and accountability and 5% for state leadership and assistance to districts, regions and schools for effective implementation, quality control and particularly, to leverage reform of schools and classrooms.

Reading Excellence Act. *Whether the Reading Excellence Act is authorized as a funding stream under Title I or Title II, Teacher Quality, authorize at least \$1 billion per year in formula funds targeted toward children of poverty in all states.* Provide for SEA administration of this program through competitive grants to local education agencies to expand high quality instructional practice in reading. Authorize state-level use of up to 20% of funds for administration, leadership, technical assistance, evaluation and dissemination of models of best practice.

21st Century Community Learning Centers. *Authorize the 21st Century Community Learning Centers program as a \$1 billion funding stream under Title I. The program should expand school-based, academic learning opportunities for economically and educationally disadvantaged students.* Provide for funds to be distributed to states on the basis of the Title I formula and for SEA administration as a competitive program to local districts on behalf of schools and their community partners. Provide for the SEA to use to 10% of funds for administration, leadership, technical assistance, evaluation, and dissemination of exemplary programs.

Universal Services Discounts for Learning Technology. *Continue the “E-Rate” authorization as off-budget universal services discounts for public and private schools and libraries with priority for funding according to need.* Do not include this \$2.25 billion program in a block grant with other technology programs subject to annual appropriations. Increase the funding to \$4.5 billion to meet the school and library applicant needs in a truly “universal” service program.

Oppose options to transform federal programs into education revenue sharing under the labels of Straight A’s or “charter” states and districts. Proposals for “charter states or districts” are inconsistent with the use of federal funds as supplemental and targeted to national priorities and purposes. They do not hold state and local education officials accountable for results and use of the funds. They create extensive complications for constitutional participation of private school students in federal programs. Flexibility in federal program use is better achieved through other means.

Oppose vouchers for private school tuition or supplemental services such as afterschool care or tutoring. For over thirty-five years, federal aid under the Elementary and Secondary Education Act has served students in both public and private schools through the “public trustee” concept and has had strong public accountability. Vouchers or direct grants to parents of K-12 students, whether under Title I or other programs, eliminate public accountability for quality and use of the funds, drain funds from public schools, and set up antagonisms between the public and private sectors while other federal funding programs, such as Title I, have promoted cooperation in the best interests of all students.

Oppose Title I “portability”. Full funding of Title I will assure all eligible children are served, wherever they attend public or private school. Portability is not needed with full funding. Portability without full funding drains resources from other Title I students, reduces the scope and efficacy of services, and does nothing to address the needs of the 2/3 of eligible students who are currently unserved.



COUNCIL OF CHIEF STATE SCHOOL OFFICERS

The Council of Chief State School Officers (CCSSO) is a nationwide, nonprofit organization composed of the public officials- appointed and elected- who lead departments of elementary and secondary education in the states, the District of Columbia, the Department of Defense Education Activity, and five extra-state jurisdictions.

CCSSO organizes its members' consensus on major educational issues and expresses their positions to civic and professional organizations, federal agencies, Congress, and the public. The members' consensus in federal legislation is presented in this publication. CCSSO is a partner in several coalitions with major education, business, and service organizations dedicated to improving elementary and secondary education for America's students.

Council of Chief State School Officers
2001

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For the complete, 60-page publication "Helping Students To Be First In the World," please contact our Publications Office at (202) 336-7016 or go to www.ccsso.org.



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